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PREDHOVOR

Tento zborník je publikáciou Kabinetu orientalistiky Slovenskej akadémie vied v Bratislave.

Kabinet orientalistiky bol založený r. 1960 ako vedecká inštitúcia pre výskum jazykov, literatúry, histórie a ekonómie krajín a národov Ázie, Afriky a Oceánie.

V Československu je hlavným orientalistickým centrom Orientálny ústav v Prahe, ktorý vydáva známy „Archiv orientální“ a dosiahol významné úspechy v oblasti skúmania starších dejín, kultúr a jazykov Orientu.

Kabinet orientalistiky ako nové vedecké orientalistické centrum chce sa zameriavať na *aktuálnu* problematiku: na výskum jazykov a literatúr modernými *kvantitatívnymi* metódami a na výskum *súčasných* dejín a ekonomiky spomenutých oblastí.

Prejaví sa to postupne v jednotlivých ročníkoch zborníka. Prvý ročník ešte neodráža celé toto zameranie. V budúcnosti sa bude hlavný dôraz klásť na komplexný výskum oblasti Juhovýchodnej Ázie a Oceánie, na výskum modernej čínskej literatúry, na historicko-ekonomické problémy súčasnej severnej Afriky a zvláštny zreteľ sa bude brať na stredovekú tureckú históriu vzhľadom na *expanziu* Osmanského impéria do Podunajskej kotliny a na Slovensko.

Popri aplikovanom výskume bude sa tu rozvíjať i práca *teoretická*, majúca všeobecný dosah. Pri riešení lingvistických problémov budú sa využívať a rozpracovávať najmä matematicko-logické metódy, ktoré v celosvetovom meradle ešte len začínajú prenikať do výskumu orientálnych jazykov. Pri ich aplikácii na jazyky Indonézie a Oceánie bude vítaná spolupráca všetkých zahraničných lingvistov.

Okrem štúdií bude zborník obsahovať aj recenzie orientalistických a teoretických publikácií z odboru lingvistiky, literatúry, umenia, histórie, ekonómie a sociológie.

Zborník bude prijímať aj práce externých a zahraničných pracovníkov všetkých orientalistických disciplín.

ПРЕДИСЛОВИЕ

Предлагаемый сборник является публикацией Кабинета востоковедения Словацкой академии наук в Братиславе.

Кабинет востоковедения был открыт в 1960 г. как научное учреждение по исследованию языков, литературы, истории и экономики стран и народов Азии, Африки и Океании.

В Чехословакии главным востоковедческим центром является Институт востоковедения в Праге, который издает известный „Архив востоковедный“ (Archiv orientální), достигший больших успехов в области исследования ранней истории, культуры и языков Востока.

Кабинет востоковедения, как новый научный востоковедный центр, предполагает ориентировать свою деятельность на актуальные проблемы: исследование языков и литературы новейшими квантитативными методами и исследование современной истории и экономики названных стран.

Эта деятельность проявится постепенно в отдельных годовых изданиях сборника. Первый год издания еще не отражает всей этой направленности. В будущем главное внимание будет обращено на комплексное исследование областей Юго-Восточной Азии и Океании, на исследование новейшей китайской литературы, на историко-экономические проблемы современной северной Африки, но особое внимание будет сосредоточено на средневековой турецкой истории, с учетом экспансии Османской империи в Подунайскую котловину и в Словакию.

Наряду с прикладным исследованием в сборнике будет развиваться и теоретическая работа, имеющая всеобщее значение. При решении языковых проблем будут использованы и разработаны главным образом математическо-логические методы, которые в всемировом масштабе еще только начинают проникать в исследование восточных языков. В деле аппликации к языкам Индонезии и Океании будет желательно сотрудничество всех зарубежных лингвистов.

Кроме статей, в сборнике будут печататься и рецензии востоковедных и теоретических работ из области лингвистики, литературы, искусства, истории, экономики и социологии.

Сборник будет принимать и работы экстерных и зарубежных работников всех востоковедческих дисциплин.

PREFACE

This collective work is a publication of the Department of Oriental Studies of the Slovak Academy of Sciences in Bratislava.

The Department of Oriental Studies has been founded in 1960 as a scientific institution for the study of languages, literature, history and economics of the countries and regions of Asia, Africa and Oceania.

The main centre for the study of Orientalistics in Czechoslovakia is the Oriental Institute in Prague, publishing the known „Archiv orientální“ (Oriental Archives). Important results have been achieved by this Institute in the field of research concerning the history, cultures and languages of the Orient.

The Department of Oriental Studies, as a newly founded centre for the study of Orientalistics intends to concentrate on actual problems: the research on languages and literatures by modern quantitative methods, and on contemporary history and economics of the said regions.

This intention will become gradually apparent in the yearbooks of the collective work. The first annual publication does not yet reflect this entire aim. Our work in the years to come will be dedicated in the first line to a complex research on the regions of South-East Asia and Oceania, modern Chinese literature, historico-economical problems of contemporary North Africa. Special attention will be given to mediaeval Turkish history with regard to the expansion of the Ottoman Empire into the Danubian basin and Slovakia.

Besides applied research work also theoretical studies of general interest will be conducted. In the solution of linguistic problems mostly mathematico-logical methods will be developed and used which are by now commenced to be applied to the research of Oriental languages in other parts of the world. The Department will be glad to collaborate with all foreign linguists in the application of these methods to the languages of Indonesia and Oceania.

The collective work will contain besides studies also reviews of orientalist and theoretic publications concerning linguistics, literature, art, history, economics and sociology.

The editors of the collective work are ready to accept papers of external and foreign scientific workers in all orientalist disciplines.

ARTICLES

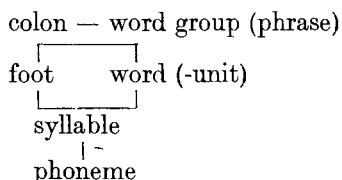
THE CLIMAX IN MALAY PANTUN

GABRIEL ALTMANN and ROBERT ŠTUKOVSKÝ, Bratislava

1. By climax we understand either a gradual increase of the extension or intension of each succeeding unit within a sequence of units of the same kind or an immediate increase of the extension or intension of the last unit within a sequence of units of the same kind. According to this definition we may distinguish a *gradual* and an *instantaneous climax* resp. The sequence of units within which the climax occurs will be called *construction*.

The *intensional climax*, expressing a certain gradation of meaning, usually stands alone so that its significance as a means of expression does not exceed the limits of the construction within which it occurs. The *formal* or otherwise called *extensional climax* is not always found in every individual construction of a given sample but appears as a significant tendency of the whole population of constructions.

2. The formal climax is an increase of the *segmental* material, as defined above. The most frequent theoretical possibilities within the line are shown by the following scheme in which higher placed units may increase in terms of the number of any of the lower units:



Within the strophe a line or a pair of lines etc. may show an increase in the number of units indicated in the above scheme which, of course, ought to be modified according to the nature of the material investigated. However, not all of the lower units are used in the same time in building a climax in the higher ones. Thus for instance a word may become longer in terms of phonemes whilst the number of its syllables may remain unchanged; or similarly the number of words in a line may increase whilst its number of syllables may still remain unchanged.

The unit which increases within a given construction will be called *climax unit*, whereas the unit in number of which the climax unit is increased will be called *factor unit* or *factor*. If e. g. the extension (i. e. the length) of the words increases in number of syllables, the syllable is to be considered the factor unit for the word-climax (within a line). The climax unit is always a unit of higher order than its factor unit, that is it has to contain at least one factor unit but may contain, naturally, a greater number (admissible in the language) of factor units. In some constructions, however, the climax of a special kind is on principle unrealizable, e. g. the foot-climax in terms of syllables in a trochaic line. The climax need not have any metrical founding, it may be a mere result of a concession of the form in favour of semantic freedom, or an effect of other causes.

3. The climax and factor units need not necessarily be directly obvious. In order to single them out quite a large number of various combinations of units has to be investigated and the whole raw quantitative material has to be tested statistically. If investigating an entire population the method of random sampling has to be used. For Malay pantuns not chosen at random Professor Slametmuljana found that the number of syllables in the first hemistich of a line may be less, equal, or greater than in the second one.¹ This may be right in the case of some particular pantuns, the Malay pantun as such, however, clearly shows a climax *tendency* which can be discovered and proved only statistically.

The line of the Malay pantun is metrically segmented into two colons separated by a compulsory word-unit-boundary. The colon usually corresponds to the linguistic phrase formed *mostly* of two word units, that is to say a phrase may consist of one or more words.² The number of syllables within a line amounts to at least 8 (2×4), the maximum number being 12 (3×4). The segmentation of a line into two colons as well as the limits of the number of syllables are metric constants, the inclusion of four units (from now on we are going to use the term „word“) into a line represents only a tendency of about 80 %.³

If the syllable is considered a factor for the word-climax within the line of the pantun it may be examined quantitatively by determining the number of syllables in individual words with respect to the position in the line from a sufficiently large sample and by analysing statistically the data so obtained. We undertook such a word-length count in numbers of syllables for 250 lines from pantuns taken at

¹ Slametmuljana R. B., *Poezie in Indonesia*. Een literaire en taalkundige studie, Leuven 1954, p. 177 f.

² Cf. Pike K. L., *Language in Relation to a Unified Theory of the Structure of Human Behavior*, Part III. Glendale 1960. Esp. p. 5 for definition, and p. 30 f. for bibliographical discussion.

³ According to several random samples taken by us. For a different opinion see Teeuw A., *Taal en versbouw*, Amsterdam 1952, p. 10. For some problems of Malay metrics cf. also Teeuw's review of Slametmuljana's o. c. in *Bijdragen tot de Taal-, Land- en Volkenkunde* 111, 1955, 309–15.

random.⁴ The only condition for the inclusion of the line into the sample was that it had to contain four words. As about 80 % of the lines fulfil this condition, the data obtained in this way may be considered representative.

4. The results and their analysis are presented in Table I. Its upper part contains the raw data as obtained by the count. The inspection of this table reveals three marked features of the material: (a) The majority of the words is di- and trisyllabic (98,6 %), whereas the proportion of mono- and tetrasyllabic words is extremely small; (b) the number of words of a given length is not the same in each position, but marked differences are observable; (c) these differences do not seem to be distributed irregularly at random, but seem to express a systematic correlation between the length and the position of the words. From these three features (a) is a well known tendency of Malay which need not to be discussed here, but will be used in the further analysis later on, whereas (b) and (c) have to be verified statistically. We proceed to do this in the subsequent parts of Table I.

Table I

Analysis of word-length according to position in 250 Malay pantuns

Position within line	I	II	III	IV
Number of monosyllables	6	—	—	—
Number of disyllables	181	163	148	131
Number of trisyllables	62	86	97	118
Number of tetrasyllables	1	1	5	1
Total	250	250	250	250
Average number of syllables per word	2,232	2,352	2,428	2,480
Index of word-length	1,000	1,054	1,088	1,111
Assigned working score z_i :	(1)	(2)	(3)	(4)
Observed numbers of words: „long“ words x_i	63	87	102	119
„short“ words y_i	187	163	148	131
Deviations from the over-	—29,75	—5,75	—9,25	+26,25
all proportion 92,75:157,25: „short“ words	+29,75	+5,75	—9,25	—26,25
Observed relative frequencies:				
„long“ words p_i	25,2 %	34,8 %	40,8 %	47,6 %
„short“ words q_i	74,8 %	65,2 %	59,2 %	52,4 %
Relative frequencies calculated from the linear regression:				
„long“ words	26,1 %	33,4 %	40,8	48,1 %
„short“ words	73,9 %	66,6 %	59,2 %	51,9 %

⁴ From the collection of Wilkinson R. J. and R. O. Winstedt, Pantun Mělayu, Singapore 1914.

The absolute as well as the relative frequencies of the mono- and tetrasyllabic words are very small. Since small absolute frequencies are statistically awkward to handle, especially if the general laws of their distribution are not exactly known, and since the relative frequencies of these groups amount to less than one promille each, it seems reasonable to pool the marginal groups with the major categories. Hence, in the further analysis we distinguished only two groups of words: disyllabic or „short“ ones and trisyllabic or „long“ ones. The respective frequencies x_i and y_i are given in the middle part of Table I.

The statistical significance of the deviations of these frequencies from the equal occurrence in all positions has been tested by means of the common chi-square test. The general proportions of the long and short words resp. in the total sample are 37,1 % : 62,9 % to which absolute frequencies of 92,75 long and 157,25 short words in each position would correspond. It may be seen, however, that in the first position there are only 63 long words, which against the theoretically expected frequency shows a difference of -29,75 words, etc. As the principle of the chi-square test may be considered to be generally known, we restrict ourselves to the statement of the result: we obtained a χ^2 of 29,016 with $(2 - 1) \times (4 - 1) = 3$ degrees of freedom. The corresponding probability is according to Fisher's Tables less than 0,001. That means that the frequencies of occurrence of long and short words show highly significant differences between individual positions.

The question whether the proportion of long words shows a systematic increase with each subsequent position has been investigated by means of Cochran's method for subdividing chi-square.⁵ The coefficient of regression, computed by means of the standard formulae, amounted to 0,0732, i. e. the proportion of long words increases with the transition to each subsequent position by 7,32 %. The lower part of Table I contains the relative frequencies of long and short words (p_i and q_i resp.) for each position as well as the corresponding proportions computed from the linear regression (as working scores z_i in the computations we chose the most obvious eventuality, i. e. the rank-number of the respective position). It may be seen that there exists a close agreement between the observed and computed frequencies. That part of the chi-square which is accounted for by the linear regression of the proportion of long words on the rank-order of position can be computed according to the formula

$$\chi^2 = \frac{\left(\sum x_i z_i - \frac{\sum x_i \cdot \sum n_i z_i}{\sum n_i} \right)^2}{\left(\sum n_i z_i^2 - \frac{\sum^2 n_i z_i}{\sum n_i} \right) \cdot \hat{p} \cdot \hat{q}}$$

⁵ Cochran W. G., *Some methods for strengthening the common χ^2 tests*. Biometrics 10, 1954, 417-451.

where \hat{p} is the estimate of p from the total sample $\Sigma x_i / \Sigma n_i$ and $n_i = 250 = \text{const.}$

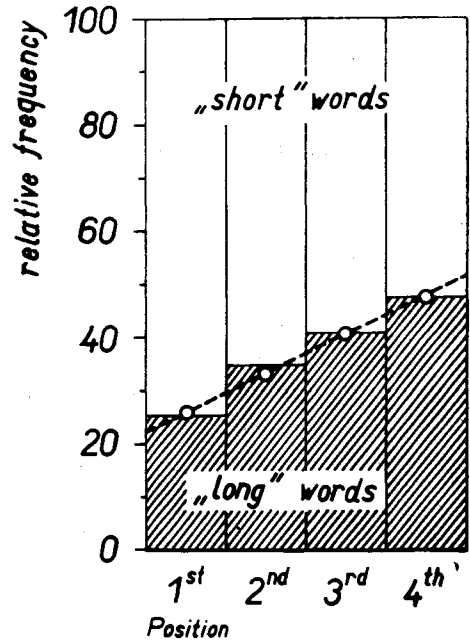
Thus we obtained $\chi^2 = 28,702$ with 1 degree of freedom. The corresponding probability is 10^{-7} i. e. less than one in a million. The regression is therefore highly significant. Now we may proceed to partition the total χ^2 as follows

	degrees of freedom	chi-square	P
Linear regression of p_i on z_i	1	28,702	10^{-7}
Deviations from regression	2	0,313	0,88
Total	3	29,016	0,001

The result shows that virtually all deviations of the proportion of long words may be accounted for by the linear regression which may be taken for unequivocally proved, whereas the slight deviations from it are within the limits of the possible random variations. This means that the proportion of long words regularly increases with each subsequent position in the line from one fourth in the first position up to one half in the fourth (last) position. These relations are presented on the figure.

5. The results obtained are quite unequivocal and one may find fault with them from two aspects only: (a) For the ascertainment of the climax in this way one needs relatively large samples and a corresponding amount of computational work, and (b) not every line consists of precisely four words, so that one may have some misgivings concerning the general validity of the word-climax in the pantun.

Item (a) is a question of the exactness and reliability of the analysis. A lot of work may be saved if we find an appropriate nonparametric test which though being perhaps somewhat less sensitive tests just only the question we are investigating. In order to avoid the possible objection (b) we have chosen as a climax unit the colon (coinciding with the hemistich) which is constant, the factor unit remaining the syllable. That means that we need only to state and to test the differences between the number of syllables in the two hemistichs. A simple nonparametric test applicable to situations of this kind is the McNemar test for the significance



of changes.⁶ This test is useful, especially because no assumption of a continuous variable need be made and as the computation is extremely short. The differences between the hemistichs, i. e. the changes which are to be tested are obviously not continuous quantities, and in using this test we may neglect even their absolute magnitude: we test only the direction of the difference. The test is based on the principle that the expectations under the null hypothesis are given by the total number of differences and are to be equal. If the differences are only due to chance it may be expected that the length of colons in one half of the cases will be $I > II$ and in the other half again $I < II$.

For every line there are three alternatives which together with McNemar's symbols are:

1. There is no difference: $I = II$ B or C
2. A difference exists: a) $I < II$ A
 b) $I > II$ D

(the capitals A to D are taken from the fourfold table of frequencies, where B and C are cells with equal signs, A and D with different ones). The exact testing is done according to the formula

$$\chi^2 = \frac{(A - D)^2}{A + D}.$$

The data from a totally random sample of 25 lines are presented in Table II. For the sake of technical ease we marked the cases where the first hemistich was shorter than the second ($I < II$) with plus, and defined them as changes resp. differences of type A , whereas the cases with $I > II$ have got the minus sign and have been subsumed under type D . The lines with equally long hemistichs falling under types B or C do not enter the testing formula at all. Of course, it holds that $A + B + C + D = N = 25$.

In our sample there is $A = 16$, $B + C = 6$, and $D = 3$. Working with small frequencies we have to perform the correction for continuity since we test a discrete distribution by means of a continuous criterion (chi-square). This consists in subtracting 1 from the difference between A and D . We obtain

$$\chi^2 = \frac{(16 - 3 - 1)^2}{16 + 3} = \frac{144}{19} = 7,58 \text{ with 1 } DF.$$

This value corresponds to a probability of less than 0,01, and for the one-tailed test of the hypothesis that the second colon is longer we obtain $P = 0,003$. At this level of significance we may state that the differences between the length of the two hemistichs of the pantun are highly significant. Generally it may be concluded

⁶ Cf. Siegel S., *Nonparametric Statistics for the Behavioral Sciences*, New York—Toronto—London 1956, p. 63—67.

that in terms of syllables the second hemistich is principally longer than the first one though in individual cases it need not always be so.

6. In a construction there may therefore occur even two or more kinds of climax as it was demonstrated above. The climax may correspond to other properties of the construction. In the Malay pantun the word-climax corresponds to the climax of the phonic agreement of parallel words⁷ where the factor unit is formed not by the quantity but by the coincidence of the quality of phonemes. However, this

Length of colons in the of pantun

Table II

No. of line	Number of syllables		Sign of difference	Type
	first colon	second colon		
1	4	5	+	A
2	4	5	+	A
3	4	5	+	A
4	4	4	0	B or C
5	4	4	0	B or C
6	5	4	—	D
7	4	5	+	A
8	4	5	+	A
9	5	5	0	B or C
10	4	5	+	A
11	4	5	+	A
12	4	5	+	A
13	4	5	+	A
14	4	5	+	A
15	4	4	0	B or C
16	4	5	+	A
17	6	5	—	D
18	4	4	0	B or C
19	6	4	—	D
20	3	5	+	A
21	4	5	+	A
22	5	5	0	B or C
23	4	5	+	A
24	4	5	+	A
25	4	5	+	A

holds only within the hemistich, whereas the correspondence with the linguistic segmentation is possible only in the above-mentioned proportion of about 80 %. On the other hand the colon-climax corresponds completely both with the climax of the phonic agreement of parallel hemistichs (taken as a whole) in the line and with the linguistic segmentation of the line.

The word-climax in Malay pantun is a gradual one and may be appropriately expressed by means of the proportion of long words and its dependence on the

⁷ See Altmann G., *Phonic structure of Malay pantun*. Archiv orientální 31, 1963, 274—86.

position. The colon-climax may not be unequivocally classed with either gradual or instantaneous climax,⁸ as the whole construction consists only of the sequence of two climax units. A useful computational method for such cases is the McNemar test for the significance of changes. The climax in Malay pantun may be conceived as a metric tendency to be proved only with the aid of statistical methods some of which we have tried to demonstrate in this paper.

⁸ See Štukovský R. and G. Altmann, *Analýza náhleho klimaxu*. Litteraria VI, 1963, 62–72. The instantaneous climax in Slovak poetry is caused by the semantic relevancy of the end of the line. In this case analysis of the variance has been used.

ФОРМЫ ПАССИВА, ПРЕДСТАВЛЕННЫЕ В „БАБУР-НАМЕ“, И ОСОБЕННОСТИ ИХ СИНТАКТИКО-СТИЛЕВОГО ИСПОЛЬЗОВАНИЯ

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При грамматическом описании памятника так называемого чагатайского языка рубежа XV—XVI вв. — „Бабур-наме“¹ — специальный интерес представляет глагол с его чрезвычайно разветвленной системой форм: именно глагол явственней и ярче, чем любая другая часть речи, позволяет выявить и охарактеризовать тот этап в развитии языка, который представлен в изучаемом произведении. В ряду других глагольных форм привлекают внимание формы пассива некоторыми своими отличиями в оформлении (для небольшой группы глагольных основ с исходом на *-л/-л-²*) и особенно — своеобразным синтактико-стилевым использованием.

Стремясь с возможной четкостью выделить предмет своего изучения в большой и сложной проблеме залогов и их соотношений, мы подвергли сплошному обследованию многочисленную группу употребляющихся в „Бабур-наме“³ глагольных форм, имеющих в своем составе показатели

¹ См. Г. Ф. Благова, *Характеристика грамматического строя (морфологии) староузбекского литературного языка конца XV в. по „Бабур-наме“*. Канд. диссерт., М., 1954; ее же, *Соотносительные глагольные формы и их развитие в узбекском литературном языке*, ВЯ, 1958, 4.

² В настоящем сообщении используется традиционная, „радловская“ транскрипция с добавлениями некоторых дополнительных литер из современного узбекского алфавита; из-за недостаточной изученности фонетики „чагатайского“ языка в ряде случаев нам пришлось прибегнуть к объединению принципов транскрипции и транслитерации в передаче текста, опыты подобного объединения имеют место в практике издания памятников литературы народов Востока (см., например: Хорезми, Мухаббат-наме. Издание текста, транскрипция, перевод и исследование Э. Н. Наджиба, М., 1961).

³ По причине того, что критический текст „Бабур-наме“ пока еще не составлен, мы пользовались изданием „Бабер-намэ“ или Записки Султана Бабера. Изданы в подлинном тексте Н. И. [Ильминским], Казань, 1857 (впредь обозначается сокращенно — БН, настрочные цифры обозначают цитируемую страницу, подстрочные — строку), привлекая к сопоставлению также Керовский список, послуживший основой для указанного издания, и Хайдарабадский список в факсимильном издании А. С. Беве-риджа (*The Bābar-nama*, ed. by A. Beveridge, Leyden—London, 1905; далее сокра-

-л-/-л-, -іл-/-іл-/-ул-/-үл-. Надо сказать, что именно эти аффиксы образуют формы пассива от преобладающего числа глагольных основ в языке „Бабур-наме“. При помощи вариантов -л-/-л- пассив образуется от глагольных основ с исходом на гласный (причем в некоторых случаях — не без участия эпентетического -j-); например: *jijil*, (есть)⁴, *diijil* (говорить), *atal* (именовать, называться), *jasal* (делать, устраивать), *ýkyl* (читать). При помощи аффикса -ул-/-үл- в БН образуются формы пассива от односложных глагольных основ, имеющих в своем составе губной гласный (это *тутул*-, *турул*-, *бузул*-, *урул*-, *ýtýl*-, *tijşýl*-, *kýçýl*-, *jürýl*-, *kýnuł*-, *kýrýl*-, *tökýl*-, *týkyl*-, *týzýl*-, *kutul*-, *ýzýl*-, *kýjyl*-, *kýşuł*-), а иногда — и негубной гласный (*jauł*-); этот же аффикс получают двусложные и многосложные основы, вокализм которых подчинен губной гармонии или же которые в последнем своем слого имеют губной гласный (таковы *ýлтурул*-, *унутул*-, *ájürýl*-/ *ýjürýl*-, *ýrgýl*-, *тапшурул*-); подобным же образом образуется пассив от форм каузатива целого ряда глаголов (*ýлтурбузул*-, *туттурул*-, *tijşürýl*-, *jükündürýl*-, *öldürýl*-, *keltürýl*-, *јандурул*-, *качурул*-,

иенно — ВН). Основания, на которых стало возможным характеризовать Керовский список и его казанское издание, осуществленное Н. П. Ильминским, как отражающие (разумеется, с целым рядом оговорок и ограничений, налагаемых общеизвестными фактами, например, порчи текста, которая имела место, видимо, еще в той рукописи, с которой копировал свой список д-р Я. Кер) наряду с Хайдарабадским списком подлинный текст оригинала „Бабур-наме“, см. в работе: Г. Ф. Благова, *К вопросу о подлинности текста „Бабур-наме“ по Керовскому списку*, „Краткие сообщения Ин-та народов Азии [АН СССР]“, XLIV — Литературоведение и изучение памятников, М., 1961, стр. 89—105.

Сопоставление указанных изданий позволило выявить ряд фактов взаимозамени форм пассива и актива в Керовском и Хайдарабадском списках, например: БН68₂₁ *ajrdılar* — ВН55б, *ajrıldılar*, БН65₁₃ *jıbarıb kım* — ВН52б₁₃ *jıbarılıb edı kım* (подробнее см. об этом ниже); наблюдаются также отдельные расхождения лексического характера, когда в этих списках в одном и том же случае употребляются формы пассива, образованные от разных глагольных основ, ср. например: БН31₁₇ *tüşürýldi* и ВН25а₂ *туттурулдї*, а также расхождения, обусловленные тем, что в языке XV—XVI вв. для образования пассива от глагольных основ с исходом на -л-/-л- могли использоваться два показателя — -л-/-л- и -н- (см. об этом ниже). Однако, обнаруженные расхождения не настолько значительны, чтобы сколько-нибудь повлиять на характер наших подсчетов и выводов.

⁴ Как будет показано ниже, присоединяющийся к глагольной основе показатель пассива придает ей в БН специфическое безличное значение, подыскать которому соответствия в русском языке часто бывает затруднительно; поэтому при пассивных формах здесь и ниже в скобках дается перевод соответствующего глагола в активе. Как правило, перевод дается по словарю Л. Будагова (*Сравнительный словарь турецко-татарских наречий*, СПб., I — 1869, II — 1871; далее обозначается сокращенно — ЛБ), — при этом, было принято во внимание, что указанный словарь в значительной своей части построен с учетом лексического материала БН.

чабтурул-, *jitkürül-, kīdūrül-, каздурул-, айт(т)урул-, сіндурул-*), а также от форм взаимно-совместного залога глаголов с губным вокализмом (*кўрўшўл-, урушул-*).

Особого упоминания заслуживают формы пассива тех глаголов, основы которых имеют в исходе *-л-/-l* и которые в соответствии с нормами современного узбекского языка должны были бы в пассиве принимать показатель *-н-*.

В „Бабур-наме“ для образования форм пассива таких глаголов используется показатель *-їн-/-in-*, однако, наряду с ним и, как показывает приводимый ниже материал, гораздо чаще его применяется показатель *-їл-/-il-*.^{4а} Ср.: *kelin-* встречается в количестве 12 словоформ, *kelil-* 25; *alїн-* 6, *alїл-* 6; *salїн-* 4, *salїл-* 1; в самостоятельном употреблении *kїлїн-* 9, *kїлїл-* 11. В качестве вспомогательного компонента *kїлїн-* используется в 16 составных глаголах (причем 8 из них встретились в БН только с вариантом *kїлїн-*), которые в общей сложности отмечены в количестве 30 словоформ; *kїлїл-* в той же функции используется в 27 составных глаголах (из них 19 зафиксированы здесь только с вариантом *kїлїл-*), которые зарегистрированы в количестве 65 словоформ (перечни указанных составных глаголов приведены ниже).⁵

Таким образом, материалы БН показывают что здесь именно наблюдается не „употребление показателя *-л-* в функции страдательного залога вместо ожидаемого аффикса *-н-*“, как это утверждает Э. Фазылов в отношении „староузбекских памятников XI—XVI вв.“⁶, а параллельное использо-

^{4а} В. М. Насилов в *Языке орхон-енисейских памятников* (М. 1960, стр. 22) отмечает показатель пассива *-н-* для основ с исходом на *-л-/-l* — *bilin-, kїлїн-, alїн-*, а для основы *adїr-* „отделять“ — возможность употребления и того и другого аффикса, ср. *adїrїл-* и *adїrїн-* в значении „отделиться (умереть)“.

В качестве показателя пассива для основ с исходом на гласный Э. Р. Тенишев также указывает *-н-* и иногда — *-l-* (в качестве примера приводится *sōlājūr* — см. Э. Р. Тенишев, *Грамматический очерк древнеуйгурского языка по сочинению „Золотой блеск“*. Канд. диссерт., Л. 1953, стр. 74).

Ср. также С. Brockelmann, *Osttürkische Grammatik der islamischen Literatursprachen Mittelasien*, 4. Lief., Leiden 1952, стр. 201—202.

Самое раннее свидетельство о возможности взаимозамены аффиксов *-н-* и *-l-* для основ с исходом на гласный находим у Махмуда Кашгари: „говорят как *bitik bitildi*, так и *bitik bitindi*, оба выражают одно и то же значение „книга была написана“ (цит. по кн.: Э. В. Севортян, *Аффиксы глаголообразования в азербайджанском языке*, М. 1962, стр. 492).

⁵ Истина требует отметить, что в двух случаях расхождения между Керовским и Хайдарабадским спискам, касающиеся пассива, как раз состоят в том, что по БН (62₁₈, 68₅) следует *kїлїндї*, а по BN (50б₅, 55а₅) — *kїлїлдї*.

⁶ Э. Фазылов, Категория залога в узбекском языке в сравнительно-историческом освещении. Канд. диссерт., М., 1961, стр. 51.

вание показателей *-il-/il-* и *-in-/in-* для образования форм пассива глаголов с исходом на *-л/-l*.

Большинство глаголов, зарегистрированных в БН в форме пассива, являются односложными; тем не менее, многосложные,⁷ особенно двусложные глаголы в пассиве составляют все же довольно значительную группу: *атланїл-, атал-, әјјүрүл-/јјүрүл-, үргүл-, унутул-, ұлтурул-, улашїл-, ұтанїл-, ішімїл-, бімїл-, бујурул-, тапшурул-, тіріһїл-, кўнарїл-, кўтарїл-, кўрсатїл-, јүрүл-, јібарїл-*. Сюда же должна быть отнесена довольно многочисленная группа пассивных форм, образовавшихся от форм каузатива и взаимно-совместного залога (перечень этих глаголов см. ниже).⁸

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Переходя далее к освещению характера употребляемости форм пассива в БН, среди глаголов, имеющих показатель *-il-/il-*..., на основаниях как семантического, так и формального порядка мы выделяем группу глаголов медиального значения, куда примыкают также глаголы, имеющие в своем составе показатель *-il...* и выражающие непроизвольность действия или же действие, которое совершено его исполнителем не по своей воле; таковы глаголы *тајрїл-* 'поскользнуться, споткнуться', из двух отмеченных словоформ которого одна — 1 л. ед. ч.: *јікїл-* 'унасть, свалиться' зарегистрирован в количестве 33 словоформ, причем из 14 на *-дї* — три

⁷ Собственно к образованиям пассива от многосложных основ в БН могут быть отнесены только нижеследующие две формы его, где показатель *-ул-/ül-* получили две трехсложные основы, представляющие собой форму каузатива от соответствующих двусложных основ: *ұлтурубузул-* и *јүкүндүрүл-*.

⁸ В этом плане уточнений требует и другое утверждение Э. Фазылова: „... большинство глаголов с показателем *-л*, выступающих с прямым дополнением, являются односложными. Многосложные глагольные основы с показателем *-л*, имеющие при себе прямое дополнение, в изученных нами памятниках до XVI в. встречаются лишь изредка в БН (разрядка наша. — Г. Б.)“, а в качестве примеров приведены *išimil-majdur*, *jibarildi* и *kišaiildi*. Прежде всего уточним употребляемость указанных глаголов с аккузативом имени объекта действия: *jibaril-* встречается в количестве 92 словоформ, *išimil-* 5, *kišaiil-* 2. Затем к трем перечисленным следует добавить также следующие пассивные глаголы, управляющие аккузативом объекта: *bimil-* (отмечено 10 словоформ), *bujuurul-* (1), *atal-* (1), *kўrsatıl-* (1), *ұтанıl-* (1), *тапшурул-* (1), а также пассивные глаголы, производные от форм каузатива: *чабтурул-* (6), *ұткарил-* (4), *чї-қарїл-* (3), *јандурул-* (2), *келтүрүл-* (2), *қачурул-* (1), *тарттурул-* (1), *јүкүндүрүл-* (1), *ајт(т)урул-* (1), *туттурул-* (1), *түшүрүл-* (1), *ұлтурубузул-* (1). И, наконец, перечисленные Э. Фазыловым многосложные глагольные основы, сохраняющие в пассиве управление аккузативом объекта, безусловно, можно найти и в произведениях других авторов — например, у Навои; ср.: *ғустахлїк јўзїдїн фїланнї қулуққа јібарїлдї* („Китаб-ї муншаат“, цит. по кн.: И. И. Березин, *Турецкая хрестоматия*, ч. 1—2, Казань, 1857, стр. 189).

представляют собой 3 л. мн. ч., а из 3 на *-īb edī* — две являются 3 л. мн. ч.; (*mīlīm/mīlī*) *тутул* — ‘отняться (о языке)’ — 2. Если основной массе пассивных глаголов при предикативном использовании свойственно выступать, как мы это увидим ниже, в форме 3-го л. ед. ч., то для медиальных глаголов здесь ограничений не существует. Так, из 59 словоформ глагола *ajrīl-* отделяться, разлучаться отмечены 1 на *-dīlar* (3 л. мн. ч.), 1 на *-īb turлар* (3 л. мн. ч.), 1 на *-īb edīlār* (3 л. мн. ч.), 1 на *-maj dūr edīm* (1 л. ед. ч.); из 56 словоформ *kūşul-* (‘присоединить, приставить, приложить’) отмечено 9 на *-dīlar* (3 л. мн. ч.), 1 на *-madīn* (1 л. ед. ч.), 1 предикатив на *-urлар* (3 л. мн. ч.), *kūşula алмајдурлар* (3 л. мн. ч.), 1 *kūşulasız* (2 л. мн. ч.), 1 на *-ub edīlār*, 3 на *-hajлар* (3 л. мн. ч.), в императиве представлены все три лица (для полной парадигмы нехватает только 1 и 2 лиц ед. числа) — 1 на *-сун* (3 л. ед. ч.), 1 на *-сунлар* (3 л. мн. ч.), 1 на *-алїң* (1 л. ед. ч.), 1 на *-уң* (2 л. мн. ч.).

Из 39 словоформ *katıl-* ‘соединиться’ наблюдаются 1 на *-dīlar* (3 л. мн. ч.), 1 на *-hajcız* (2 л. мн. ч.); в императиве — 1 на *-алїң* (1 л. мн. ч.), на *-їң* (2 л. мн. ч.), 1 на *-маңїз* (2 л. мн. ч.).

Из 37 словоформ *jıhıl⁹* ‘собираться’ зарегистрировано 3 на *-dīlar* (3 л. мн. ч.), 1 на *-urлар* (3 л. мн. ч.).

Из 18 словоформ *ajrıl⁹* ‘вертеться вокруг, кружиться, обратиться; превратиться во что, в кого’ — 1 на *-dīlār* (3 л. мн. ч.), 2 на *-jūr edīm* (1 л. ед. ч.) и 2 на *-jūr edīlar* (3 л. мн. ч.), 1 на *-cā*; из 5 словоформ *jūrjıl-* ‘кружиться на одном месте, вокруг’ — 1 на *-dīlar* (3 л. мн. ч.), 1 на *-jūr edīlar*; из 10 словоформ *kutul-* ‘быть избавлену, спастись’ 1 на *-hajмен* (1 л. ед. ч.) и 1 на *-hajcız* (2 л. мн. ч.); из 8 словоформ *mīkıl¹⁰* ‘тыкаться, притиснуться, наби-ваться, соваться’ — 1 на *-dīlar* (3 л. мн. ч.) и из 3 перифрастических — 1 *mīkılīb keldīlar* (3 л. мн. ч.), 1 *mīkılīb bardīlar* (3 л. мн. ч.); Из 5 словоформ *jızıl-* ‘быть прервану, вырвану, оборваться; быть разрешену’ — 1 на *-dīm* (1 л. ед. ч.).

В БН встречаются также медиальные глаголы *açıl-* ‘открываться, раскрываться’ (19 словоформ), *mīkıl-* ‘воткнуться’ (7), *mīrihıl-* (‘жить, быть живым’) (2), *jaıl-* ‘распространиться, развернуться’ (1), *mīnıl-* ‘успокоиться, утихомириться’ (1), *унутул-* ‘быть в забвении, забываться’ (1).

Как можно видеть, медиальные глаголы (особенно те, которые употребляются сравнительно часто) с формальной стороны характеризуются тем, что они могут выступать не только в форме 3-го л. мн. числа, но также и в прочих личных формах — 1 и 2-го лиц ед. и мн. чисел, причем у некоторых глаголов (например, *kūşul-*) представлена почти полностью парадигма спряжения. Интересно отметить также, что репертуар употребляемых

⁹ Однa раз этот глагол отмечен в губной огласовке — *jıjırpıljıb*.

¹⁰ Дважды этот глагол употреблен в варианте *mīhıl-* (*mīhılīb* и *mīhılān*).

временных форм и форм наклонения для медиальных глаголов является расширенным (если сравнить их в этом отношении с глаголами основной группы), причем все эти формы, например на *-гај*, употребляются уже не в единичных случаях, и, наоборот, форма прошедшего на *-ди* здесь уже не является преобладающей (так, из отмеченных 59 словоформ глагола *ајрїл-* только 3 представляют собой прошедшее на *-ди*). Из числа форм, расширяющих репертуар тех, в которых используются медиальные глаголы, можно назвать ряд форм, образованных при помощи вспомогательных глаголов: *кўшулмақ бўлди* (1), *кўшулмақчїемїш* (1); *їїћїлмїш бўлҳај* (1); *їїкїла јазди* (1); *тїкїлїб барди* (1) и др.

Таким образом, формальный анализ медиальных глаголов подтверждает правомерность выделения их в особую группу.

В оставшейся, наиболее значительной группе форм пассива мы начнем свой обзор с глаголов движения и местонахождения.

Тўшїл- [сойти (с лошади), стать лагерем] употреблено в количестве 159 словоформ (из них 158 на *-ди*, 1 на *-їбтур*);

барїл- (итти) 31 (из них — 17 на *-ди*, 3 *-їб еди*, 1 — время на *-ур*, 5 на *-ҳај*, 2 на *-са*, 2 причастия на *-хан*, 1 дееспричастие на *-мај*);

kelil- (приходить, приезжать) 25 (из них — 22 на *-ди*, 1 *-їб еди*, 1 *-мај дур еди*, 1 предикатив. *-ган*); *kelin-* 12 (из них 12 на *-ди*);

атланїл- (сесть верхом, выступать в поход) 23 (из них 21 на *-ди*, 1 на *-ҳај*, 1 предикатив. *-хан*);

кўчїл- (переселиться, перекочевать) 13 (из них 12 на *-ди*, в том числе 1 на *-мади*; 1 на *-їб еди*);

їўрїл- (ходить) 10 [из них 7 на *-ди*, 2 на *-гај*, 1 на *-са е(р)ди*];

чїкїл- (выходить,) 8 (из них 6 на *-ди*, 1 на *-ҳај*, 1 имя на *-їш*);

јанїл- (возвращаться, отступать) 7 (из них 3 на *-ди*, 1 на *-їб еди*, 3 на *-ҳај*);

кїрїл- (входить) 6 (из них 3 на *-ди*, 1 на *-їб еди*, 1 предикатив на *-ўр*, 1 на *-са*);

ўтїл- (проходить, перейти) 6 (из них 5 на *-ди*, 1 на *-їб еди*);

кечїл- (пройти, перейти) 5 (из них 4 на *-ди*, 1 на *-гај*).

јетїл- (достигать) 5 (из них 4 на *-ди*, 1 на *-їб еди*).

Отмечено также 3 составных глагола движения с *кїлїл-/кїлїн-* в качестве вспомогательного компонента: *ъазїмѡт кїлїл-* (отправиться) 3 (из них 2 на *-ди* и 1 на *-їб еди*) и *ъкїлїн-* 1 (на *-ди*); *мураджаѡт кїлїл-* (возвращаться) 4 (в форме на *-ди*) и *м. кїлїн-* 2 (в форме на *-ди*); *сѡјр кїлїл-* (путешествовать, прогуливаться) — 5 (из них 4 на *-ди*, 1 на *-їб е(р)ди*).

Таким образом, 15 глаголов движения, употребляемых в БН в пассиве, в тексте зарегистрированы в количестве 327 словоформ, значительнейшая часть которых — 286 — представляет собой 3-е л. ед. ч. прошедшего на *-ди/-ди + 12 на -їб/-їб-їб е(р)ди*.

То же самое преобладание форм 3-го л. ед. ч. прошедшего на *-di* отмечено и у глаголов местонахождения, которых употребляется в БН всего три: *йлтурул-* (сидеть, оставаться, жить) — 14 словоформ (12 на *-di*, 1 на *-ур еdi*, 1 причастие на *-хан*), *турул-* (стоять, находиться, пребывать, жить) — 8 (все на *-di*) и *кўнул-* (остановиться на ночлег, на стоянку) — 1 (на *-di*).

Охарактеризуем теперь глагол *кїлїл-/кїлїн-* (делать, оказывать, производить) в его самостоятельном и служебном употреблении. В качестве самостоятельного глагола *кїлїл-* употреблен в количестве 11 словоформ (из них 7 на *-di*, 4 на *-їб еdi*); *кїлїн-* — 9 словоформ (5 на *-di*, 1 на *-їб еdi*, 1 на *-ур еdi*, 2 на *-хан*).

В качестве вспомогательного компонента этот глагол использован в следующих составных глаголах:

таъїн кїлїл- (определить, назначить) — 14 словоформ (все на *-di*) и *т. кїлїн-* 4 (все на *-di*);

кїсмāt кїлїл- (разделить, уделить) 1 (на *-di*) и *к. кїлїн-* 1 (на *-di*);

таһкїк кїлїл- (удостоверяться, разведать об истине, подтвердить, доказать, признать за истину) — 1 (на *-di*), *т. кїлїн-* — 1 (на *-di*), *таһкїк-у тафтїш кїлїн*¹¹ — 1 (на *-di*);

*мазбут-у мустаһкām*¹² *кїлїл-* — 1 (на *-di*), *мазбут-у марбут кїлїл-* — 1 (на *-di*), *мустаһкām-у мазбут кїлїн-* — 1 (на *-їб еdi*);

мāшварāt кїлїл- (обсуждать, совещаться) 3 (на *-di*) и *м. кїлїн-* 3 (на *-di*);

ihmījāt кїлїл- (проявлять осторожность, осмотрительность) 1 (на *-ур еdi*) и *і. кїлїн-* — 1 (на *-di*);

манъ кїлїл- (отринуть, преградить, запретить) 1 (на *-di*) и *м. кїлїн-* 1 (на *-di*);

мулахазā кїлїл- (рассматривать, наблюдать) — 2 (на *-di*) и *мулахазā кїлїн-* — 1 (на *-di*);

тāsāwур кїлїл- (делать предложение, мыслить) 2 [1 на *-di*, 1 на *-мас е(р)di*];

тақсім кїлїл- (разделить, распределить) — 1 (на *-di*);

таджрібā кїлїл- (испытать) — 1 (на *-di*);

їнаїāt кїлїл- (пожаловать чем-л., одарить милостью) 2 (на *-di*);

тāhdīd-у сіасāt кїлїл- (устрашать и наказывать, расправиться) 1 (на *-di*);

мāламānt кїлїл- (укорять, упрекать) 1 (на *-di*);

¹¹ Этот пример, как и несколько нижеследующих, наглядно показывает всю относительность „скованного“ характера составных глаголов.

¹² Эти три глагола интересны еще и тем, что именная часть их представляет собой также пассивную форму — арабские пассивные причастия, ср. ар. *марбут* „связанный, прикрепленный; хорошо устроенный“, ар. *мāзбут* „взятый во владение, занятый; утвержденный в памяти, определенный; приведенный под правило“, ар. *мустаһкām* „укрепленный, утвержденный“.

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xītab beril- (,вопрошать, спросить, обращаться со словом, адресоваться')
1 словоформа (на *-di*);

seza beril- (,воздать заслуженное — наказание, награду') 1 (на *-di*);

Итак, *beril-* в самостоятельном употреблении и в использовании его как вспомогательного компонента отмечен в БН в количестве 109 словоформ, из них 90 на *-di* (в их числе 1 на *-mädi*), 9 на *-ib edi*, 1 на *-maj dur edi*, 6 на *-gaj*, 2 на *-sä*, 1 на *-ib*.

tartıl- (,тянуть, тащить, водить, привести') — в самостоятельном употреблении зафиксировано 6 словоформ, из них 2 на *-di*, 3 на *-ur edi*, 1 на *-ib*. *Tartıl-* в качестве вспомогательного компонента в составных глаголах: *aş tartıl-* (,подать кушанье') 5 (из них 1 на *-di*, 4 на *-gandın sün|kejin*), *tāgam ... tartıl-* (,подать кушанье') 1 (на *-di*), *aş-у tāgam ... tartıl-* (,подать всякие кушанья') 2 (1 на *-di*, 1 на *-handın kejin*), *aş-у пішкеш tartıl-* (,подать кушанье и подарки) — 1 (на *-handın sün*); *suw tartıl-* (,черпать воду') 1 (на *-han*); *rāndжіr tartıl-* (,перенести огорчения, беспокойство') 1 (на *-ur edi*); *sergārdanlık tartıl-* (,перенести, пережить затруднительное, безвыходное положение') 1 (на *-di*); *tāshwīshlar-у māshākkātлар tartıl-* (,испытать несчастья и беспокойства') 1 (на *-di*); *harmlıklar tartıl-* (,испытать, беспокойства', или: испытать унижения') — 1 (на *-di*). Итого в самостоятельном употреблении и в служебной функции *tartıl-* отмечен в количестве 20 словоформ.

kıjıl- (,оставить, бросить, перестать, положить, ставить, оставить на месте') 35 словоформ (22 на *-di*, 9 на *-ub edi*, 1 на *-maj dur erdi*, 1 на *-husıdur*, 2 на *-haj*);

salıl-/salın- (,класть, положить, оставить, бросить, отпустить') употреблен в варианте *salıl-* 1 раз (на *-di*), в варианте *salın-* — четырежды (2 на *-di*, 1 на *-ib турур*, 1 причастие на *-han*);

kınışıl- (,спросить чьего-н. совета, составить совещание, чтобы выслушать мнение') 3 (на *-di*);

buıruıl- (,приказать, поведеть') 23 (18 на *-di*, 2 на *-ib edi*, 1 — импр. 3 л. ед. на *-sun*, 2 причастия на *-han*);

ıkuıl- (,читать, учиться; звать, призывать, приглашать, требовать')
1 (на *-ub*);

ajıl- (,быть сказану, говориться; быть дану (слово), быть назначену, определену, жаловану (кому-либо должность и пр.)) 15 (8 на *-di*, 5 на *-ib edi*, 1 на *-mas edi*, 1 на *-handı*);

atıl- (,дать имя, назвать, назначить') 2 (1 предикатив. на *-ur*, 1 на *-ib edi*);

deıl- (,сказать, называть') 2 (на *-di*);

mılıl- (,желать, хотеть, просить, сказать, требовать') 1 (на *-ib edi*);

bııl- (,писать') 36 (11 на *-di*, в том числе 1 на *-mädi*, 2 на *-ib тур*, 1 на

-маб дур, 6 на -іб еді, в том числе один раз — 3-е л. мн. ч. -іб еділәр; 1 на -ган дур, 14 на -ган, в том числе 1 на -маган, 1 на -гани, 1 на -ганлардин; 1 на -йр учун);

бақыл- (смотреть') 1 (на -дї);

кўрўл- (видеть') 22 (10 на -дї, из них 3 на -мадї; 2 на -маб еді, 2 на -мај дур, 2 на -мај дур еді, 1 на -ган емас ерді, 1 на -гај, 4 причастия на -ган, из них 1 на -маган, 1 на -ганда);

ешитил- (слышать, услышать') 13 (4 на -дї, в том числе 1 на -мадї; 1 на -іб еді, 2 на -мај дур, 1 на -ур еді и 2 на -мас еді, 1 на -ган емас, 1 на -са, 1 на -гудек);

кўрсатил- (показывать') 1 (на -дї);

иштиғал кўрсатил- (проявлять прилежание') 2 (на -дї);

алыл-/алын- (взять, брать'): алыл- 6 (3 на -дї, 1 на -дї екін, 1 на -гај, 1 на -ганда); алын- 6 [4 на -дї, из них 1 на -мадї, 1 на -ур е(р)дї, 1 на -гандин сўң];

ичил- (пить') 35 [29 на -дї, 1 на -ур е(р)дї, 1 на -мај дур еді, 2 на -іб дур, 1 на -гај, 1 на -са];

јејил- (есть') 14 (11 на -дї, 1 на -іб еді, 1 на -йр, 1 на -ганині);

улашыл- (делить, разделить, раздавать по частям') 4 (на -дї);

табыл- (найти, отыскать, достать') 24 [13 на -дї (в том числе 5 отрицательных на -мадї), 1 на -іб еді, 2 на -ур и 2 на -мас, 2 на -ур еді и 3 на мас еді, 1 на -махыл];

бузул- (изломать, расстроить, сокрушить, разрушить') 20 [2 на -дї, 1 на -іб еді, 1 на -а дур, 1 на -гајлар еді, 1 на -мақ, 7 на -ған (среди них 1 на -ғанниң), 6 на -іб, 1 на -ғалы];

чабыл- (рубить, сечь; ударять, колоть') 6 (4 на -дї, 1 на -іб еді и 1 на -маб еді);

кесил- (резать, косить, рубить') 3 (1 на -мадї, 1 на -мај дур еді, 1 на -са);

қазыл- (копать, рыть') 4 (1 на -дї, 1 на -гај, 2 на -ған);

урул- (бить, ударять') 2 (на -дї);

тутул- (держать, поймать, схватить, хранить') 1 (на -уб тур);

тапшурул- (поручить, вручить, доставить, передать,) — 1 (на -дї);

ўтаныл- (стыдиться, слушаться, краснеть') 1 (на -дї);

кўтарил- (поднять, возносить; снять, взять, нести, уносить, переносить, претерпевать') 1 раз (на -іб еді);

кїрїл- [резать, рубить; истребить, уничтожить (неприятеля)] 3 (2 на -дї, 1 на -гандин сўң);

кўпарыл- (поднять, возвысить, возбудить; выдернуть, выдвинуть, своротить') 8 (6 на -дї, 1 на -іб еді, 1 на -іб тур);

јасал- (сделать, устроить, снарядить, убрать') 1 (на -іб тур);

асыл- (вешать, повесить') 1 (на -іб еді);

тїўїл- (быть изношену, стереться, исчезнуть') 1 (на -мақ);

ikil- (сеять хлеб; разводить посредством корней, посадить дерево; обрабатывать землю) 1 (причастие на *-ган*);

igil- (согнуть, наклонить) 1 (на *-йб*);

tūkyul- (поколотить) 1 (причастие на *-ур*);

tōkjyl- (бить, ударять, колотить, толочь) 1 (причастие на *-йр*);

mišil- [быть проколоту, продырявиться, прорваться; взойти (хлеб, растение)] 1 (на *-іб*);

tipil- (собирать, соединять) 1 (причастие на *-йр*);

sachil- (сеять, засеять, сыпать, рассыпать, брызгать) 1 (на *-дї*).

Формы пассива могут образовываться также от глаголов, уже получивших показатель каузатива или — правда, значительно реже — показатель взаимно-совместного залога; следует учитывать при этом, что глаголы движения, принимая показатель каузатива, зачастую изменяют свое значение. Перечислим употребляющиеся в БН формы пассива, образованные от глаголов в каузативе:

ytkaril- (заставить пройти, проводить, перенести, оставить что) 7 [5 на *-дї* (в том числе 1 отрицательная на *-мадї*), 2 на *-са едї*];

chkaril- (выводить, выносить, выгонять, лишить должности) 5 (2 на *-дї*, 2 на *-іб едї*, 1 на *-ур ердї*);

keltjryl- (заставить придти, привести, принести) 4 (3 на *-дї*, 1 на *-ган*);

janduryul- (заставить отойти, вернуть, возвратить) 4 (на *-дї*);

tūshjryl- (уронить, спустить, свернуть, сбить с коня) 1 (на *-дї*);

kachuryul- (заставить или дать бежать, обратить в бегство, прогнать) 1 (на *-дї*);

jitmjryl- (доводить, доставлять, допускать, сделать достаточным) 1 (на *-дї*);

ylturhuryul- (посадить, поселить) 1 (на *-дї*);

chaburyul-/chapuryul- (пускать в бег, велеть рубить) 9 (на *-дї*);

jykyndjryl- (быть заставлену преклоняться или повиноваться; быть возвышену в звание, удостоену почетного звания) 5 (4 на *-дї*, 1 на *-іб едї*);

tuturyul- (заставить держать или поймать) 3 (1 на *-дї*, 2 на *-іб едї*);

kijōjryl- (надеть на кого, одеть, помочь одеться) 3 (на *-дї*);

kazduryul- (приказать, заставить копать, рыть, вырезывать) 2 (на *-дї*);

ajt(m)uryul- (велеть сказать, велеть передать) 1 (на *-дї*); *oljuryul-*

olmjryl- (убивать) (на *-дї*);

sinduryul- (сломать, разбить, поразить, победить) 1 (на *-жан*);

jihishuryul- (заставить всех собраться вместе) 1 (на *-жан*).

Показатель *-il-/jyl-/ul-* присоединяется к следующим глаголам, имеющим в своем составе форматы взаимно-совместного залога:

jimišil- (добиваться, доходить, догонять, достаться кому, равняться с кем) 1 (на *-дї*);

k'ürjüwül- (видеться с кем, друг с другом; здороваться') 2 (на *-di*);
c'üzlawil- (разговаривать вместе, высказать друг другу') 1 (на *-di*);
uruwul- (драться, сражаться, браниться') 1 (на *-di*).

Заслуживает быть отмеченным единственный зафиксированный в БН случай присоединения к глаголу в пассиве еще и показателя возвратного залога — *jasalın-* (1 словоформа на *-di*)¹³.

Приведенный реестр словоформ глаголов, зафиксированных в БН в форме пассива, показывает наибольшую употребляемость этих глаголов в формах прошедшего времени (в основном на *-di*, хотя встречаемость форм на *-ib edī* тоже весьма велика); без сомнения это определяется самой жанровой принадлежностью БН. Формы настоящего и будущего времен, а также наклонений, как и неличные формы пассивного глагола представлены весьма разнообразно, хотя и не столь многочисленно.

Заслуживает внимания и другой факт, на этот раз вряд ли определяющийся жанровой принадлежностью произведения или его стилем, а именно: личные формы глаголов в пассиве, как правило, представляют собой 3-ье лицо ед. числа; только в трех случаях удалось обнаружить 3-е лицо мн. числа: *bitilīb edīlar* (БН 267₆), *бузулһајлар еді* (БН 88₅), *мулахаза кїлулурлар* (БН 162₅).

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Обрисовав круг глаголов, имеющих в своем составе показатель *-л/-л-...*, и характер их употребляемости в БН, опишем более подробно уже отмечавшиеся в литературе случаи управления в БН глагола в пассиве винительным падежом объекта.¹⁴ Явление это известно и во многих других

¹³ Немногочисленные „примеры соединения страдательной и возвратной форм в одном слове“ приводит А. М. Щербак (см. его *Грамматический очерк языка тюркских текстов X—XIII вв. из Восточного Туркестана*“, М.—Л. 1961, стр. 167).

¹⁴ См. П. М. Мелиоранский, *Памятник в честь Кюль—Тегина*, ЗВО РАО, XII, вып. II—III, СПб., 1899, стр. 102; П. М. Мелиоранский, *Документ уйгурского письма Султана Омар-Шейха*, ЗВО РАО, XVI, I, 1905; A. von Gabain, *Altürkische Grammatik*, Leipzig 1950, стр. 166; C. Brockelmann, *Ostürkische Grammatik der islamischen Literatursprachen Mittelasiens*, Leiden. 5. Lief. 1953, стр. 286; Г. Ф. Благова, канд. диссерт.; В. И. Асланов, *Некоторые вопросы глагольного управления в памятниках, азербайджанского языка в сравнительном освещении (переходные глаголы)*. Канд. диссерт., Баку, 1960; А. А. Юлдашев, *Система словообразования и спряжения глагола в башкирском языке*, М. 1958, стр. 99; В. В. Решетов, *Узбекский национальный язык* в сб. *Вопросы формирования и развития национальных языков* (Труды Ин-та языкознания АН СССР, X), М. 1960, стр. 127; Э. Фазылов, *Категория залога в узбекском языке в сравнительно-историческом освещении*. Канд. диссерт., М. 1961; А. М. Щербак, *Грамматика староузбекского языка*, М.—Л. 1962, стр. 179; С. А. Фердаус (см. его канд. диссерт. *Узбек тилида фе'л даражалари Категорияси*, Ташкент 1950) приводит в 5-ой главе, посвящен-

памятниках старотюркской письменности, равно как и в ряде современных тюркских языков,¹⁵ а также в языках, называемых алтайскими.¹⁶

Отметим вначале те глаголы, которые, будучи в форме пассива, могут в БН управлять аккузативом имени объекта действия. Это прежде всего *jibaril-*, который показал 92 случая подобного употребления (к этому надо прибавить 2 случая, когда этот глагол управляет генитивом объекта — БН 296₁₈₋₁₉ — и исходным падежом объекта — БН 162₁₃); *beril-* — 19 случаев, а также *qarar beril-* — 5 и *ruhsat beril-* — 3; *bimil-* — 10; *k'j'jul-* — 7, а также *s'uzni k'j'jul-* — 4 и *at'i(ni) k'j'jul-* — 2; *eshimil-* — 5; *k'j'ryl-* — 5; *chab'il-* — 4; *ajm'il-* — 3. Отмечено по два случая употребления *ki'zashil-*, *ichil-*, *tart'il-*, *ulashil-*, *tab'il-*; по одному разу употреблены варианты *al'il-* и *al'in-*. Зарегистрировано по 1 случаю интересующего нас употребления глаголов *atal-*, *bu'j'urul-*, *tutul-*, *urul-*, *bu'zul-*, *ytan'il-*, *mil'al-*, *k'j'rsatil-*, *tanishurul-*.

Случаев, когда глагол *k'il'm'il-* управляет аккузативом объекта, отмечено 5, а когда в аналогичной функции выступает его вариант *k'il'm'in-*, — 2. Зарегистрировано также управление аккузативом объекта у целого ряда составных глаголов, вспомогательным компонентом которых является глагол *k'il'm'il-/k'il'm'in-*: *ta'j'in k'il'm'il-* — 9 и *t. k'il'm'in-* — 1; *maishar'at k'il'm'il-* — 3 и *m. k'il'm'in-* — 1; *wa'da k'il'm'il-* — 2; *tasawwur k'il'm'il-* — 2; *mazbut-u mustahkam k'il'm'il-* — 1 и *mustahkam-u mazbut k'il'm'in-* — 1; *k'ismat k'il'm'il-* — 1 + 1 случай управления генитивом (БН 431₁₀₋₁₁) и *k. k'il'm'in-* — 1; по 1 разу встречаются с подобным управлением *man' k'il'm'il-*, *tinaj'at k'il'm'il-*, *taqsim k'il'm'il-*, *tab'dj'rib'a k'il'm'il-*, *mahdid-u siacat k'il'm'il-*, *malamat k'il'm'il-*, а также *tahqiq k'il'm'in-*, *zahir k'il'm'in-*, *ihmij'at k'il'm'in-*, *sajr k'il'm'il-*.

Управление аккузативом объекта отмечено также у глаголов, пассив которых образован не непосредственно от основы, а от формы каузатива: *chabturul-* — 6, *ytkaril-* — 4, *ch'karil-* — 3, *jandurul-* — 2, *kelturul-* — 1;

ной анализу ошибочного употребления залогов, из БН 2 примера управления пассива аккузативом объекта в качестве иллюстрации того, как не следует говорить и писать (стр. 210).

¹⁵ См. С. Е. Малов, *Енисейская письменность тюрков*, М.—Л., 1952, стр. 18; Э. В. Севортян, *Аффиксы глаголообразования в азербайджанском языке*, М., 1962; В. И. Асланов, *О соотношении категории переходности и категории залога при управлении*, Известия АН Азерб. ССР, 1959, № 6; Х. Якубова, *Залоги в узбекском языке в сопоставлении с залогами русского языка*. Канд. диссерт., Ташкент 1955 (здесь приводятся многочисленные примеры употребления в современном узбекском языке пассива с аккузативом объекта, почерпнутые из школьных учебников); а также перечисленные выше канд. диссертации Г. Ф. Благовой, В. И. Асланова, Э. Фазылова.

¹⁶ См. А. Бобровников, *Грамматика монгольско-калмыцкого языка*, Казань 1849, стр. 126; Г. Д. Санжеев, *Залоги в монгольских языках*, Труды Военного Ин-та иностранных языков, 3, М., 1947, стр. 110 и сл. Ср. также Н. И. Конрад, *Синтаксис японского национального литературного языка*, М. 1937.

иллһларнӓ iki тарафӓһа илһар јибарилӓб едӓ (БН 76₂₂₋₂₃) „тогда послали разведку в обе стороны во главе с Касамбеком, Ибрахимом Сару и Веисом Лагори“.

Естественно, что при глаголе *берӓл-* — также в соответствии с его семантикой — в качестве объекта в аккузативе употребляются главным образом имена существительные неодушевленные и особенно часто — топонимы, имеющие иногда при себе приложения [например: *джунанур wilajjātini берӓлдӓ* (БН 486₃) „дали округ Джуннур“; в свою очередь, при составном глаголе *рухсат берӓл-* употребляются в аккузативе исключительно имена личные, а при *қарар берӓл-* — имена существительные неодушевленные [трижды *сӓзнӓ* („слово“) и 1 раз *пӓшкӓшнӓ* („подношение“)]; при глаголе *қӓјул-* в аккузативе употребляются либо личные имена и существительные одушевленные (и тогда глагол означает „оставить, поставить“, либо имена существительные неодушевленные: *сӓзнӓ* — 5 [например: *мӓшвӓрӓт қӓлӓб сӓзнӓ мунға қӓјулдӓ кӓм ...* (БН 312₁₆) „посоветовавшись, постановили на том, что ...“] и *ӓтнӓ* [например: *қӓзға анасӓнӓн ӓтнӓн ӓк қӓјулдӓ* (БН 25₁₆₋₁₇) „дочери дали как раз имя ее матери“], а также араб. *јесарӓнӓ* („правая сторона“), но уже при составном глаголе *ӓт қӓјул-* [ср. *анӓн јемӓн вӓ јесарӓнӓнӓн вӓ сӓл ӓт қӓјулдӓ* (БН 266₁₇) „его правую сторону и левую сторону называли ӓн и сул“]. Глагол *чабӓл-* управляет аккузативом 1 этнонима во мн. числе — *һӓзарӓларнӓ* („хазарейцы“), 1 топонима — *коһатнӓ* и 2 существительных неодушевленных [*даштнӓ* („степь“) 1 и *афһаннӓн бир бӓлакнӓ* („одно отделение афганцев“) — 1]. Глагол *бӓмӓл-* в своем основном значении управляет аккузативом существительных неодушевленных — *хатларнӓ* („письма“) 1, *бутлуһнӓ* („пабедренник булатный“) 1, *хатнӓн сӓвадӓнӓ* („почерк письма“) 1, *мазмуннӓ* („содержание“) 1, *кӓраклик нӓмӓларнӓ* („нужные вещи“)¹⁸ 1, зарегистрирован также с аккузативом причастной формы на *-ур* [*қуч вӓ урукнӓн келӓрӓнӓ бӓмӓлӓб едӓ* (БН 464₁₁) „тогда описали прибытие семей и родов“] в значении „описать“ и с аккузативом существительного одушевленного *јӓгӓмӓрнӓ* — 2 раза [*қӓлӓч чабқан јӓгӓмӓрнӓ тамам ӓрашулаһа бӓмӓлӓб едӓ* (БН 109₁₉₋₂₀) „молодцов, владеющих мечом, полностью записали тогда в авангард“] и 5 раз с именами собственными в значении „записать“.

Кӓңашӓл- управляет аккузативом причастной формы на *-ур* [*кабӓлнӓн устӓға филһал барур јанарӓнӓ кӓңашӓлдӓ* (БН 154₇) „обсуждали, идти ли им на Кабул тотчас или отступить“], к этому случаю близок и другой, когда этот глагол управляет аккузативом существительного неодушевленного, имеющего при себе в качестве определения причастную форму на *-ур*

¹⁸ В языке БН *нӓмӓ* отмечено еще в своем субстантивном и, видимо, более старом значении „вещь, нечто реальное“.

[*kaјsarі jўrўr masлахatіnі kіnashіldі* (БН 181_{II}) „обсуждали наставление, в какую сторону идти“]¹⁹. *бујурул-* употреблено с неодушевленным существительным *банділарні* — 1; *тартіл-* в сочетании с аккузативом объекта образует устойчивое сочетание, отмеченное в БН дважды на стр. 245_{7,8}: *бўи атні тартілур еді* „вели под узцы неоседланную (или: ненагруженную?) лошадь“.

При глаголе *кўрўл-* в качестве объекта однажды употреблено местоимение 3-го л. мн. числа *аларні*, отмечено 2 случая использования имен существительных неодушевленных — *mіwānі* („плод“) и *јахні* („лед“), и в 2 случаях употребление существительных этого разряда в определенном сочетании с топонимами — *гармсір wilajātларіnі* и *hindустан nāwāhіsіnі*, 1 раз — топоним *кабџурні*. При глаголе *амл-|алін-* отмечено в двух случаях употребление отглагольного существительного *кўрханіnі* („крепость“), причем в одном случае с определением — топонимом *рібат-і ходжа кўрханіnі*, в другом — без него; при *улашл-* использованы по 1 разу существительные неодушевленные — *дџајбәларні* („латы“) и *алатні* („орудия, снаряды“); при *ајтл-* дважды употреблены топонимы — *алурні* и *атаwānі*; при *атал-* 1 топоним *атаwānі*; при *milal-* — имя собственное *дџаннасірні*; *тутул-* — 1 раз с существительным неодушевленным *ішіні* („дело“); *урул-* — 1 раз с местоимением *баъзіnі* („некоторый“); *бузул-* 1 раз с существительным неодушевленным — *ilіnі* („народ“); *табїл-* — 1 раз с существительным неодушевленным [*tarіxіnі* („дата; история“)], 1 раз с именем собственным (*дџаһангір мірзані*); при *ічїл-* в аккузативе употреблено существительное *кўнларні*²⁰; *ўтанїл-* — 1 раз с перс. *таравїхні* („капля“); *ешїтл-* 4 раза с существительными неодушевленными — *lāfzіnі* („слово, речь“); *сўзіnі* („слово“), *таъріфїnі* („описание“), в том числе 1 раз — во мн. числе *дџунурларні* и 1 раз с указательным местоимением *муні*; при глаголе *кїлїл-|кїлїн-* употребляются по одному разу существительные неодушевленные: *тўјїnі* („пир“), *wadџh-і іstіқаматіnі* („искренняя манера“) *wadџhні* („образ, манера“), *черікні* („войско“), *пахїnі*, в том числе 1 топоним — *бадџурні* (ср. *бадџурні шаһ мір нусајн ъуһдасїһа кїлїлдї* — БН 322₁₇ —

¹⁹ Э. Фазылов несколько отступает от истины, когда, комментируя последний пример (который он приводит в своей диссертации), пишет: „Заметим, что ... глагол *кенгаш.моқ* „советоваться“ является непереходным. Другие случаи употребления прямого дополнения при непереходных многосложных глаголах в староузбекском языке не были обнаружены“ (указ. соч., стр. 79). На самом деле здесь имеет место сохранение управления исходного глагола *Кіnаш-*, который в языке БН — в отличие от современного языка — является переходным и управляет аккузативом объекта, например: *ходжа абу ал-макарїмні уртађа кїnашїді* (БН 124₁₉), а также БН 244₄ (ср. также БН 465₁₂₋₁₃, где аккузативом объекта управляет *мāшwāрāt кїл-*).

²⁰ Здесь следует отметить необычное, временное наполнение объекта: *кунїларнї ічїлдї* (БН 325₁₆) „пили днями“.

„Баджур сделали условием Шах Мир-Хусейну“), а также 1 счетное местоимение *бір нічәні* („несколько“) (ср.: *бір нічәні јәңі бек кѣлнѣб еді* — БН 382₈₋₉ — „Несколько произвели в новые беки“); *таъјѣн кѣлѣл-/кѣлн-* 9 раз с именами собственными и 5 — с существительными неодушевленными, из которых только 1 — *танабѣлнѣ* („мерная веревка землемера; около 24 м“) — в ед. числе, остальные — во мн. числе: *бѣлдарларнѣ* и *гуруһларнѣ* („группы“) по 1 разу, 2 раза *башлѣкларнѣ*. Интересно отметить, что *мәшвәрәт кѣлѣл-/кѣлн-* только в одном случае управляет существительным [*кәјфијәтинѣ* („свойство, качество“)], а в четырех — глагольными образованиями, из которых 3 — причастная форма на -ур (*јүрүрѣ, кечарнѣ, мутавабѣджѣк бѣмурнѣ*) и 1 имя действия на -мак [*ѣлһамакнѣ* („быстрое нападение“)]; *шаъда кѣлѣл-* — с 1 существительным неодушевленным во мн. числе [*виләјәтларнѣ* („область, округ“)] и с 1 топонимом (*шамс абаднѣ*); *ihtijāt кѣлн-* — 1 раз с существительным перс. *гирдинѣ* („окрестность“), в сочетании с тем же существительным 1 раз отмечен глагол *мустаккәм-у мазбут кѣлн-*; с *кѣсмәт кѣлѣл-/кѣлн-* отмечены по 1 разу существительные *хазѣнанѣ* („сокровищница“) и перс. *парганатнѣ* („земельные владения; уделы“); с *тинајәт кѣлѣл-* — 1 раз существительное *кѣрһанѣнѣ*; *тәсәввуур кѣлѣл-* — встречается 1 раз с именем собственным, 1 — с существительным неодушевленным *ишинѣ* („дело“); *захір кѣлн-* отмечено 1 раз с причастной формой на -ган (*тиләгәнинѣ*); *мулахазә кѣлѣл-* — 1 существительное *халәмнѣ* („мир, вселенная“); *манъ кѣлѣл-* — 1 существительное во мн. числе *мудѣжавірларнѣ* („сосед“); *тақсѣм кѣлѣл-* управляет существительным *виләјәтинѣ* 1 раз; *таһкѣк кѣлн-* — 1 раз существительным *дѣжаванѣбнѣ* („стороны“); *мәламәт кѣлѣл-* — 1 раз отглагольным существительным во мн. числе (*урушларнѣнѣ*); *тадѣжрѣбә кѣлѣл-* встречается 1 раз с существительным *пәлнѣ* („период, на протяжении которого можно 60 раз смежить глаза“); еще не вполне стабилизовавшийся составной глагол *тәһдид вә сѣјәсәт кѣлѣл-* 1 раз с субстантивированным своего рода „составным прилагательным“, образованным из сочетания существительного со служебным именем, во мн. числе: *иш устіндәкѣләрнѣ*; *сәјр кѣлѣл-* управляет аккузативом топонима — *сикандартурнѣ*.

Аккузативом объекта управляют в БН также пассивные глаголы, образованные от форм каузатива: *чѣкарѣл-* — встречается в сочетании с именами существительными как в ед. числе — *илнѣ* („народ, люд“) — 1, так и во мн. числе — *јигитләрнѣ* (1 раз), *арабаларнѣ* („повозка“, 1 раз); *ѣткәрил-* управляет существительными *заманнѣ* („время“, 2 раза), *кѣшнѣ* („зима“, 1 раз), *арабаларнѣ* (1 раз); *јандурул-* — существительным *мѣбулнѣ* („могол“, 1 раз) и субстантивированной формой на -ган (*ѣткәнләрнѣ*, 1 раз); *келтүрүл-* управляет существительным *китабатнѣ* („запись“, 1 раз); *түшүрүл-* — существительным во мн. числе *бекләрнѣ* („бек“, 1 раз); *чабтурул-* в 5 случаях

управляет аккузативом имен собственных и в одном случае — существительным одушевленным *бір нечә кишіні* (несколько человек); *йүкүндүрүл-* управляет аккузативом имени собственного (1 раз); *тарт(т)урул-* и в пассиве, образованном от аккузатива, сохранил управление существительным *ашин* (еда, пища, 1 раз) — ср. выше стр. 14; *ajt(т)урул-* управляет аккузативом существительного *рухсатни* (разрешение, позволение, 1 раз). Наиболее четко представлено свойственное каузативу управление прямым дополнением в аккузативе и косвенным дополнением в дативе, которое полностью сохранено соответствующим пассивным глаголом, образованным от формы каузатива, в следующем примере: *мирза хан шайхга абу саиди мирзани туттурулди* (БН 269₂₂) „Мирзе хан Шайху велели схватить Абу Саида мирзу“. В остальных случаях употребления глаголов этой группы датив косвенного дополнения, обозначающего реального исполнителя действия, как правило, в БН бывает опущен. При пассивных формах каузатива глаголов движения зачастую сохраняются аллатив, инессив или аблатив соответствующих обстоятельств места.

Касаясь вопроса об управлении глаголов в пассиве нельзя не отметить, далее, случаев, когда пассивный глагол имеет при себе объект в генитиве, — в этом проявляется прежде всего, способность генитива и аккузатива к взаимозамене (взаимозамена форм этих надежей была свойственна старописьменному языку, широко распространена она и в современном узбекском разговорном языке, откуда часто проникает и в современный литературный язык). Таких случаев отмечено 4: *урдунин ва урду йтрусинин мазбут-у мустахкам киллинді* (БН 409_{21 22}) „приводили в порядок и укрепляли лагерь и его окрестности“; *булджар кўрханин гирдагирдини ҳўл бранҳар ва джунҳарға қисмат киллинді* (БН 431_{10 11}) „окрестности крепости [где был назначен] сборный пункт войска разделили на роту, находящуюся лично при султани, на правое и левое крыло войска“; *мухаммад джаң джаң нукерини јибарилди* (БН 296₁₈₋₁₉) „послали нукера Мухаммеда Дженг Дженг“.

Для иллюстрации того, как генитив заменяет аккузатив, интересен приводимый ниже пример, где при пассивной форме глагола из числа четырех объектов — однородных членов предложения — три имеют показатели аккузатива и лишь один — показатель генитива: *султан джанид барласни ва хасан халифани ва мулла абакини джамаатини ва муъмин аткани аға иници рухсат берилди* (БН 487_{15 17}) „дали разрешение [удалиться] Султану Джаниду Барласу, и Хасану Халифе, и окружению (свите) Муллы Абака, и братьям Мумина-атна“.

Заслуживают внимания также те редкие примеры, когда пассивная форма глагола управляет аблативом части объекта. Таких примеров отмечено только два: *бу сундин хайли ичилди* (БН 370₉₋₁₀) „много пили этой

воды“; *бадахшан вā бухараға ул најшāкāрлāрдін јібаріліб ерді* (БН 162₁₃)“ [из общего количества] того сахарного тростника послали в Бадахшан и Бухару“; *јігірмā беш лāклік тājн нāргāнāлардін берілді* (БН 384₉₋₁₀) „Дали из самых наделов [приносящих доходов] по 25 лаков“.

Как показало наблюдение, один и тот же пассивный глагол в БН в совершенно одинаковых условиях его функционирования может управлять то аккузативом объекта, то номинативом; в этом, видимо, сказался индивидуальный стилиевой вкус автора исследуемого произведения. Особенно показателен в этом плане нижеследующий пример: *мірза тāбрізіні вā мірза бек таһајіні ўн миң шаһрухи сачлқ билā јібарілді ўзум кіјған тун вā баһлаған кāмар һār ікі мірзаға јібарілді мўла бiһиштідін һиндалға му-
рассаъ кāмар ханджар вā мурассаъ дāвāт вā садафкāрлқ сандалі вā кіјған нiмчā вā тāкбанд вā бабуріј хатініў муфрадатіні јібарілді јінā бабуріј хаті билā бiтилған қiтғалар јібарілді һумајунға тāрджумāні кiм һиндустанға келғані ајтқан ашғарнī јібарілді һиндалға вā ходжа-і кālāнға һām тāрджумā вā ашғар јібарілді мірза бек таһајідін һām камранға тāрджумā вā һиндға келғали ајтқан ашғар вā бабуріј хаті билā бiтилған сархатлар јібарілді* (БН 462₁₆₋₂₃) [Бабур] „послали [к Хумаюну и Карману] Мирзу Табризи и Мирзу бек Тагая с десятью тысячами шахрухи на подарки. Обоим мирзам послали халаты с моего плеча и пояса, которыми я сам подпоясывался. Через Муллу Бихишти послали Хииндалу пояс с кинжалом, украшенным драгоценными камнями, позолоченную чернильницу, икрустированное перламутром кресло, полукафтанье со своего плеча, пояс с пряжкой и азбуку, написанную письмом „бабури“. Еще послали несколько стихотворных отрывков, написанных письмом бабури. Хумаюпу послали перевод и стихи сочиненные со времени прибытия в Хииндустан Ходжа и Калану также послали [этот] перевод и стихи. Через Мирза бек Тагая послали также Камрану перевод и стихи, сочиненные со времени прибытия в Хииндустан, и прописи письмом „бабури“.

Отмечен ряд случаев, когда сказуемое-глагол в форме пассива, управляющий аккузативом объекта, может иметь при себе два и более объекта — однородных членов предложения. По характеру грамматического оформления указанных однородных членов предложения можно выделить два типа случаев их употребления:

во-первых, когда показатель аккузатива получают оба (или: все несколько) однородных члена: *халіфāнī вā бағзī бекларнī јібарілді* (БН 478₆) „послали Халифу и некоторых беков“; *нўнаһар тунанīнī . . . вā чаған-сарајнī насір мірзаға берілді* (БН 178₁₅₋₁₆) „Округ Нингнахара и Чаган-Сарай отдали Насыру-мирзе“; *алангарнī јусуфқа вā талишангнī бāһлјлға беріліб еді* (БН 191₁₂ 191₁₂₋₁₃) „Дали Алангар Юсуфу и Алишанг Бахлулу“; *урук-і зејіні вā сiнд јакасідаһī бағзī афғанларнī беріліб еді* (БН 383₂₂₋₂₃)

„отдали племя зейи и некоторые [племена. — Г. Б.] афганцев по берегам Синда“; *султан джанид барласнї вā хасан хамфāнї вā мулла абақнїң джамағатїнїң вā муғмін атқанїң аға іні сінї рухсат берїлдї* (БН 478₁₅₋₁₇) „дали разрешение (удалиться) Султану Джаниду Барласу, и Хасану Халифе, и окружению (свите) Муллы Абака, и братьям Мумина-атка“; *гармсир wilajātларінї вā хиндустан нāwāhисінї нār гиз кўрїлған емас ердї* (БН 179₂₀₋₂₁) „Округи Гармсира и страну Хиндустан никогда прежде не видели“; *бу журтта сінд суїї кечарнї вā қайсарї мутаваджіджіһ булузнї мәшварәт қїлїлдї* (БН 180₁₇₋₁₈) „На этой стоянке совещались о том, переходить ли воды Синда и в какую сторону направиться (дальше)“;

во-вторых, когда из числа однородных членов предложения, выступающих в функции объекта при сказуемом глаголе в форме пассива, только последний по порядку перечисления (и, следовательно, наименее дистантно расположенный по отношению к сказуемому) член получает показатель аккузатива: *коһāt вā нāбу вā дәштнї чабїлдї* (БН 299₁) „разбили Кохат, Набу и степь“; *бір парā абадан жігітлар вā піјадāларнї мїғад јерїга јїбарїлдї* (БН 50₁₇) „Нескольких удалых молодцов и пеших послали в условленное место“; *кабїлнїң устіга фїлхал барур јанарїнї кїңашїлдї* (БН 154₇) „обсуждали, итти ли им на Кабул тотчас или отсутпить“; *wilajāt вā парканатнї қїсмат қїлїлдї* (БН 526₇) „разделили округ и уделы“; *јер суw бїлур кїшіларнї чарлаб атраф вā джаванїбнї таһқїк қїлїндї* (БН 179₁₅₋₁₆) „созвали людей, знающих все окрестности (букв.: землю—воду), и расспросили (букв.: расследовали) об окрестностях и краях“.

Справедливость требует отметить в то же время, что, как это показывает материал, оформление посредством показателя аккузатива получает прямое дополнение при сказуемом-пассивном глаголе независимо от своей позиции по отношению к сказуемому. Приведем наиболее типичные примеры, характеризующие позицию объекта в аккузативе по отношению к сказуемому — пассивному глаголу: 1. объект в аккузативе расположен непосредственно перед своим сказуемым: *шāнбā кунї арабаларнї ўткарїлдї* (БН 437₆) „в субботу велели переправить повозки“; *ғабд ар-раззак мїрзанї кўјулдї* (БН 272₂₋₃) „[в Кабул] назначили Абд ар-Раззака мирзу“; *бā-муджларға һāјдар ғаламдарнї јїбарїлїб едї* (БН 289₁₃) „к белуджам послали тогда Хайдар Аламдара“; *кабїлға мўлла ғабд алмалїкнї јїбарїлдї* (БН 316₂₁) „В Кабул послали Муллу Абд ал-Малика“; 2. дистантное расположение: а) объект в аккузативе отделен от сказуемого обстоятельством места: *шах хасаннї хушабқа јїбарїлдї* (БН 289₁₈) „Шах Хасана послали в Хушаб“; *јусуф ғалї рїкабдарнї кабїлға јїбарїлдї* (БН 281₆) „Юсуфа Али Рикабдара послали в Кабул“; б) объект в аккузативе может быть отделен от сказуемого целым набором обстоятельств места, цели и косвенных дополнений: *бурї барласнї бір нїчā жігітлār билā һāбār учун бухара сарї јїбарїлїб едї*

(БН 97₁₈₋₁₉) „Гури Барласа с несколькими воинами послали ради известия в Бухару“; *бек мiрāк муҳулнi бiр нiчā jīgīt bilā kāfirдин һāбār алһамi*²¹ *jibarildī* (БН 402₁₅₋₁₆) „Бека Мирек-могола с несколькими воинами послали, чтобы они привезли известие от кафиров“; *шаһ мiр һусāйннi бiр парā jīgītлār bilā анда қўјулһај* (БН 312₁₈₋₁₉) „Шах Мир-Хусейна с отрядом воинов пусть оставят там“; *синғār lāfzini kabīлһа келганда ешитилди* (БН 182₁₂₋₂₃) „Язык (речь) сингар слышали, когда прибыли в Кабул“; *муджашўрларнi бу һārākātтин таһдiд bilā манъ қiлiлдi* (БН 170₂₂) „Угрозой запретили соседям это действие“; в) объект в аккузативе может быть отделен от сказуемого придаточным определительным предложением, которое может относиться и к объекту и которое присоединяется к определяемому им слову посредством союза *ки/ким*: *абанус jīһачiннi ким һинд ili танду дерлār кўрмаганлар [га] кўрсатилди* (БН 445₁₁) „Эбеновое дерево, которое народ Хинда называет танду, показали тем, кто [его прежде] не видел“; *тали-шаңнiң мālikнi ким јаман iшлār қiлiб нахақ қанлар тўқур едi қанлiқларiһа тапшурулдi* (БН 324₁₆₋₁₇) „Правителя Алишанга, который, совершая дурные дела, проливал много невинной крови, препоручили его кровникам“; *табд ал-азизнi ким тарһқа муъајн едi бранһарһа кумāк jibarildī* (БН 344₂₀) „Абд ал-азиза, который был назначен в резервный отряд, послали в помощь правому флангу“; *чандiрiннi ахмад шаһ-i мазкурһа ким султан насiр ад-диннiң набiрасi бўлһај берилди* (БН 434₁₇₋₁₈) „Чандири отдали упомянутому Ахмад-шаху, который должен приходится внуком Султану Насыр Эд-дину“.

В связи с этим — как свидетельство своего рода „устойчивости“, управления пассивных глаголов аккузативом объекта — заслуживает быть упомянутым любопытный факт сохранения аккузатива объекта в главном предложении и в том случае, когда сказуемое — пассивный глагол, к которому относится этот объект, находится в придаточном предложении, а его объект, логически рассуждая, является субъектом действия в главном предложении, хотя и стоит в форме аккузатива. Примеры: *талам ханнi*

²¹ Надо отметить, что все деепричастия и причастия в косвенных падежах, выступающие в качестве пояснительных слов к глаголу в пассиве, используются, как правило, только в форме основного залога. Например: *бу джiһātлардин султан масъудi һāзарāни чаба атланiлдi* (БН 179₁₀₋₁₁) „По этим причинам отправили Султана Масуди посечь хезарийцев“; *бāъзi ат бāъзi тiшā мiнiб келиб сājр қiлiлiб едi* (БН 474₂₁) „Некоторые [из нас] сев на коня, некоторые — на верблюда, приехав, прогуливались“. Но ср. деепричастие в форме пассива, которое употреблено при основном залоге глагола, можно сказать, как бы нейтрального в отношении категории лица: *iki хoджa wā iki улућ ечiга... кўмўш ташi билā алтун wā алтун ташi билā кўмўш тартiлiб iнъам бўлдi* (БН 456₈₋₁₀) „Двум ходжам и двум великим послам, ... с куском серебра свесив золото, а с куском золота — серебро, был сделан подарок [от Бабур]“ (перевод дается по ЛБ, I, стр. 725).

кім гвалиарҥа кјмак јібаріліб еді гвалиарҥа бармај ўз wilājātīҥа бардї (БН 409₇₋₈) „Алам хан, которого послали на помощь в Гвалиар, не пошел в Гвалиар, а пошел в свой собственный округ“; *рустām туркмәннї кім қарашулыққа јібаріліб еді һабәр келтурдї кім ...* (БН 283₁₇₋₁₈) „Рустам-Туркмен, которого послали в караул, прислал известие, что ...“; *зар-базанлїқ арабаларнї кім аламһурдїн кімәләрдїн чїқарїлїб еді фирман бўлди кім ...* (БН 471₄₋₅) „о повозках с пушками, которые вывезли из Адампура на судах, был приказ...“; *мірза хан мірзанї кім бадахшанҥа рухсат берїлди шах бікім һәм хан мірза билан һәмрах мутаваджджіһ бўлди* (БН 272₅₋₆) „Мирза Хан мирза, которого отпустили в Бадахшан, направился [туда, имея] спутниками Шах биким и Хана мирзу“; *ходжа муһаммад ғали wā джаннасїрнї кім черїк маслаһатїҥа тїлїліб еді wilajatläridin keldilärp* (БН 311₁₃₋₁₄) „Холжа Мухаммед Али и Джан-Насыр, которых тогда призывали на войсковой совет, пришли из своих областей“.

*

Приведенный выше материал позволяет, таким образом полностью исключить всякую возможность воздействия фактора позиции в вопросе об управлении пассивного глагола аккузативом объекта.

Самый материал подсказывает, что толковать аккузатив объекта при пассивном глаголе возможно только лишь как сохранение формой пассива того управления, которое было свойственно исходной основе глагола.²²

Поскольку форма пассива не изменяет управления объектом, которое свойственно соответствующей основе глагола, постольку этот залог не преобразует отношение действия к грамматическому объекту, и, следовательно, „искать характеристику залога необходимо во взаимоотношениях между действием и грамматическим субъектом“, как это указывает Э. В. Севортян.²³

Если обратиться к этой стороне вопроса, то надо, прежде всего, сказать о том, что пассивные глаголы в „Бабур-наме“ используются, как правило, в предложении, где реальной исполнитель действия не указывается;²⁴ в тех

²² Мысль о том, что „присутствие или отсутствие прямого дополнения в предложении не связано с залоговой формой глагола и потому оно не может учитываться в качестве специальной характеристики залога“, впервые была сформулирована Э. В. Севортяном, который основывался на том факте, что „прямое дополнение возможно в возвратном, взаимно-совместном и понудительном залогах“, а также в страдательном (Э. В. Севортян, указ. соч., стр. 454).

²³ Там же, стр. 454.

²⁴ Трактовка Э. Фазыловым нескольких примеров из БН как *Страдательного оборота с послелогом билан* (Э. Фазылов, Канд. диссерт., стр. 92) не выдерживает критики, так как она является результатом смешения комитативного и орудийного

же случаях, когда пассивный глагол сохраняет управление аккузативом объекта, или когда пассив образован от глагола движения, в таком предложении отсутствует и формальное подлежащее. Здесь, таким образом, пассив призван обозначать своего рода соотношенность действия, выраженной основой глагола, с опущенным в речи его субъектом.²⁵

При дальнейшем уточнении залоговой характеристики изучаемых форм в контексте выявляется существенная и специфическая синтактико-стилевая особенность использования пассивных глаголов в „Бабур-наме“: они употребляются в повествовании, которое в целом ведется от 1-го лица,²⁶ т. е. от автора произведения — самого Бабура, и в котором, следовательно, реальным исполнителем большей части описываемых действий

значений указанного послелoga (хотя в отдельных случаях послелогом *bilā* здесь вводится иногда и косвенный объект с орудийным значением, не имеющий, тем не менее, никакого отношения к выражению реального исполнителя действия: *ʿabd ash-shahīd bilā xodja-i kālānha ... munasibī xilʿatlar bilā kijdūrūldi* (БН 456₁₋₂) „Абд аш-Шахида и Ходжа-и Калана обрядили в соответствующие [их положению] почетные платья“, но ср. там же *čākmānlar kijdūrūldi*).

В нижеследующих примерах форма аблатива имен собственных также представляет собой не упоминание реального исполнителя (и инициатора) действия, а всего лишь указание на посредника в выполнении действия: *mūlla bihiṣṭidīn hīndālha murassaʿ kāmār hāndjār wā murassaʿ dāwat wā sādaʿfkarlīk sandalī wā kijan nīmčā ... wā baburij hatīnīn mūfrādātīnī jībarīldi* (БН 462₁₈₋₂₀) «Хиндалу через Муллу Бихишти послали [в качестве реального исполнителя действия имеется в виду I лицо, т. е. сам Бабур.—Г. Б.] украшенный драгоценными камнями пояс и кинжал и позолоченную чернильницу, и инкрустированное перламутром кресло, и одеванное короткое платье, ... и азбуку письма „бабури“»; *mīrza bek taḥajjīdīn hām kamranha tārđjūmā wā hīndka kelgali ajtkan aṣṣar wā baburij hatī bilā bimīlean sāḥnatlar jībarīldi* (БН 462₂₂₋₂₃) „Камрану через Мирзу бека Тагаи также послали перевод, и стихи, написанные со времени прихода в Индию, и написанные письмом „Бабури“ соглашения“. Ср. пример из „Мубајјн“, где аблатив имени собственного Бабур употребляется в контексте, допускающем двойное толкование этой формы: *iṣarāt anga kīm ṣiḥḥat eṣkiyul haṣrāt muḥammād muṣtafīdīn ačīlhaʿj* („Мубајјн, ркп А 104, 19₁₃₋₂₀), „указание на то, что дверь заступничества откроется посредством/ будет открыта тем святейшеством Мухаммадом-Избранником“.

²⁵ Ср. П. Я. Скорик, *О категории залога в чукотском языке*, в кн.: *Вопросы грамматики*. Сб. статей к 75-летию акад. И. И. Мещанинова, М.—Л., 1960, стр. 139. П. Я. Скорик представляет необходимым при определении значений категорий залога учитывать также то, что „одни и те же реальные субъектно-объектные отношения при помощи залоговых форм (т. е. грамматически) могут быть выражены в языке различно. При этом по воле говорящего (в зависимости от того, какая сторона субъектно-объектных отношений представляется ему в данном случае менее существенной и насколько) может быть ослаблено и даже полностью опущено выражение в языке реального субъекта действия или объекта...“ (там же, стр. 133—134).

²⁶ К. Брокельман отмечает „особенно излюбленное“ употребление „безличного пассива у Бабура как выражение литературной скромности“ (см. указ. соч., 5. Lief., стр. 286).

является 1-ое лицо.²⁷ Очень показательны в этом отношении немногочисленные обнаруженные примеры, где в предложении со сказуемым — пассивным глаголом, управляющим аккузативом объекта или образованием от глагола движения, имеется „подлежащее“ — местоимение 1-го л. мн. числа *biz* или 1-го л. ед. ч. *мен*, обозначающее реального исполнителя действия²⁸; надо сказать, что это „подлежащее“ с точки зрения грамматической не является вполне „полномочным“, поскольку оно не согласуется со своим сказуемым ни в лице, ни в числе, и отнесенность его к сказуемому реализуется весьма необычным способом — посредством показателя пассива²⁹: *biz cājid kaśm wā kūhbūrni wā xūshikā arhūnnī бір нічā jigimlar bilān jibarildi* (БН 134₁₇₋₁₉) „мы послали Сейид Касыма, и Кухбур, и Хушике Аргуна с несколькими молодцами“; *anīñ учун ханлар māclāhāt*

²⁷ Использование форм пассива — и в том числе пассива с аккузативом объекта — в целях стилистических с тем, чтобы при повествовании личность автора была как бы отодвинута на второй план, — свойство стили не только Бабура, но и такого классика „чагатайской“ литературы второй половины XV в., каким был Алишер Навои. Подобное использование пассива можно проследить в таких прозаических произведениях Навои, как „Мизан ул-авзан“, „Китаб-и муншаат“ и др., приведем некоторые примеры: *kūñūl baħrīdīn maħfī durrларnī ʿalī māđjīśha bu nāw nīсар қўллар ...* [Китаб-и муншаат (цит. по кн.: И. И. Березин, указ. соч., стр. 193₁₂)] „таким образом осыпали [имеется в виду реальный исполнитель действия — сам Навои. — Г. Б.] высокое собрание потаёнными жемчужинами из глубин (букв.: моря) сердца“; *bu bāndānīñ daħī tūrt dīwanīmha ... hām uşbu māzūr būlhan dāstur bilā martīb berilībdur* (Алишер Навоий, Мезонул авзон. Критик текст тайёрловчи И. Султонов, Тошкент 1949, стр. VI₁₋₄) „при помощи этого самого указанного выше способа [мы. — Г. Б.] придали порядок также ... четырем моим диванам этого раба“. В последнем примере нашли свое отражение две тенденции, проскальзывающие в этом стилевом употреблении пассива: с одной стороны, безличность, свойственная этой форме, — и с этой стороной оказывается связано употребление в предложении уничижительного определения *bu bāndānīñ* „этого раба“, а с другой стороны — идущее от стилистического использования пассива стремление соотносить пассивный глагол с местоимением 1-го лица, т. е. выражением реального исполнителя действия; последней тенденцией, как нам кажется, обусловлено наличие аффикса принадлежности 1-го л. ед. числа в определении, которое по правилам грамматического оформления должно было бы иметь в своем составе аффикс принадлежности 3-го лица ед. числа.

²⁸ Единственный случай аналогичного употребления пассива привел Э. Фазылов (канд. диссерт., стр. 81) из *Шаджарайи турки*: *anīñ ūhlā barhūnaj wā laqabī qarīltuq anīñ mānasī gāndжі sarait.mak būlur ūzun aш jegan tamaқida турхан кішіні қірлді* „Его сын Баргунай, по прозвищу Карылтук, что означает „базовень“, убил [букв.: был убит] человека в тот момент, когда он обедал“.

²⁹ В том случае, когда, говоря о совершаемых им действиях, Бабур имеет в виду группу приближенных к нему лиц, при дееспричастиях, поясняющих глагол в пассиве — сказуемое, возможно использование слов, которые в известной мере могут быть отнесены к группе подлежащего: *bāʿāz at bāʿāz tiwā mīnīb kelīb cājr kīl.mīb edī* (БН 474₂₁) „[мы] путешествовали, поехав мы на коне, кто на верблюде“.

кўрдилар ким мен бір парā черік ҳамраһ аліб хўджанд суїдін ўтўб ўи вā узганд тарафидін келиб арқасидін кирігај (БН 127₁₆₋₁₈) „Поэтому ханы сочли за благо, чтобы я взял в подкрепление (букв.: попутчиком) один отряд войска, перешел бы реку Ходженжа и, прийдя со стороны Оша и Узгенда, вышел [на войско Тенбеля. — Г. Б.] с тыла“; ср. также: *біз самарканд тахтї мўјассар-у мусаххар бўлғач андїджаннї джāһангир мїрзаһа берігај* (БН 91₁₄₋₁₅) „Как только самаркандский престол будет нам дароваи богом и покорится, мы отдадим Андижан Джехангиру Мирзе“.

Небезынтересно отметить, что первый случай такого стилистического употребления пассива с аккузативом объекта встречается в „Бабур-наме“ сразу же, как только после описания своего наследного удела — области Ферганы, краткого изложения событий жизни и семейных обстоятельств своего отца Омар Шейха (включая описание его паружности и нрава, его владений и эмиров) Бабур переходит к повествованию о своих собственных деяниях: *ходжа қазїнї вā узун ҳасан вā ходжа ҳусайннї елїкка бу мазмун билā јібарїлдї ким бу wilājātка мўлазімларидін бір кіші худ қўјулҳусїдур* (БН 20₁₉₋₂₀) „Ходжу Кази, Узун Хасана и Ходжу Хусейна послали в посольство с таким предложением, чтобы [нам] в эту область поставить своего человека из числа слуг [Султана Ахмеда Мирзы]“³⁰

В смысле выявления указанной особенности использования форм пассива весьма показательны также и те характерные расхождения в употреблении пассивных глаголов, которые удалось обнаружить при сопоставлении Керовского списка и Казанского издания „Бабур-наме“, с одной стороны, и Хайдарабского списка в издании А. Беверидж, с другой. Довольно часто пассивному глаголу с аккузативом объекта в Хайдарабадском списке соответствует в Керовском списке основной глагол в 1-м лице ед. или мн. чисел³¹, ср.: BN л. 25а₇ *јібарїлдї* — БН 31₂₃ *јібардўк*, BN л. 55б₅, 208б₄

³⁰ Заметим, что современные переводчики „Бабур-наме“ — А. Беверидж (*The Babur-nama in English*, I, London, 1922) и М. Салье (*Бабур-наме. Записки Бабура*, Ташкент 1958) — в большей части случаев согласно передают пассив в указанном его стилистическом употреблении посредством глагольной формы 1-го лица ед. или мн. числа.

³¹ Добавим — хотя это и не касается расхождений между различными списками „Бабур-наме“ —, что формы пассива в указанной своей стилистической функции могут дублироваться иногда посредством составных глаголов, в которых (благодаря их вспомогательному компоненту *бўл-*) действие представлено как бы независимым от его реального исполнителя и которые поэтому выступают только в форме 3-го л. ед. числа. Можно назвать целый ряд таких пар: *бујурул-* — *ғирман бўл-*, *һуқм бўл-*; *тинајāt қїлїл-* — *тинајāt бўл-*; *рухсат берїл-* — *рухсат бўл-*; *берїл-* — *инъам бўл-*; *таъјїн қїлїл-* — *таъјїн бўл-*; *сўзні қарар мунга/мундақ берїл-* — *сўз мунга қарар тап-*, *муқаррар бўл-*; *сўзларнї қўјул-* — *сўзлар араһа тўш-*, *андақ сўз бўл-*; *таваққуф қїлїл-* — *таваққуф бўл-* и др.

атланїлдї- БН 69, атландїм, 265₂₁, атландук; БН 218а₁₂ сїјр кїлїлдї- БН 278, сїјр кїлдук; БН 53а₇₋₈ кїјулуб едї — БН 65₂₁ кїјуб едїм; встречаются и расхождения обратного порядка; т. е. пассивный глагол в Керовском списке и соответствующая ему форма 1-го лица мн. числа в Хайдарабадском списке, например: БН 274₁₃ келїндї — БН 215а, келдїк.

Говоря об этой особенности синтактико-стилевого использования пассива в БН, нельзя все же, как нам представляется, утверждать категорически, что Бабур, „как правило, определенно безличен в своей форме выражения“.³² Ибо специфика употребления пассива для обозначения действия, совершаемого 1-ым лицом, упоминание о котором в повествовании опущено, как раз подчеркивается именно тем, что пассивные глаголы для этой цели используются паряду и на фоне форм 1-го л. ед. и мн. чисел основного залога. Для иллюстрации этого достаточно взять любой фрагмент из БН и проследить употребление тех и иных форм. Мы остановимся на фрагменте из второй части, которая, по мнению А. Беверидж, наиболее характерно представляет стиль Бабура в его определенно безличной манере выражения, а именно стр. 338—348, и проследим здесь употребление лишь одного глагола *тїш-*. В первой части этого отрывка преимущественно употребляются формы 1-го л. ед. и мн. чисел основного залога: БН 338₁₄ *тїшїб едїк*, 338₁₄ *тїшитїк*, 339₁₁ *тїшїб едїк*, 340₁₈ *тїшитїк*, 346_{6, 12} *тїшитїк*. Во второй части фрагмента преобладает употребление форм пассива глагола *тїш-*, перемежающееся, однако, с использованием форм 1-го лица основного залога: БН 346₁₄ *тїшїлді*, но 346₁₈ *тїшитїк*; 346₂₁ *тїшїлді*, но 347₂ *тїшитїм*; 347_{3, 4} *тїшїлді*, 348₄ *тїшїлді*. Таким образом, нельзя говорить о преобладании форм пассива именно во второй части; в то же время наблюдения над текстом показывают, что во второй части — и чем ближе к концу произведения, тем это становится заметнее — явственно расширяется репертуар глаголов, выступающих в форме пассива и используемых в этой форме в стилистических целях при повествовании от 1-го лица. Таковы, например, *їїл-*, начавшее употребляться в БН со стр. 240₁, *їїл-* — со стр. 298₃, *тузул-* — со стр. 355₁₉, *урул-* — со стр. 272₂₃, *мїлїл-* — со стр. 311₁₄, *їхтїјар кїлїл-*, начавшее употребляться со стр. 293₁₂, *кїсмїт кїлїл-/кїлїн-* — со стр. 270₂₀, *кїрїл-* — со стр. 284₁₉, *турул-* — со стр. 184₂₀, *тїшїл-* — со стр. 180₅, *кїчїл-* — со стр. 187₂₀, *мїсївїур кїлїл-* — со стр. 323₁₄, *їнтїхїб кїлїл-* — со стр. 320₁₆, *сїјр кїлїл-* — со стр. 320₂, *їазїмїт кїлїл-/кїлїн-* — со стр. 231₆, *їїнаїїт кїлїл-* — 422₂₃, *мїламїт кїлїл-* — 436₂, *мїджрїбї кїлїл-* — 376₈, *кїнул-* — 428₁₂ и многие другие.

Если учесть специфику стилистического использования форм пассива

³² A. S. Beveridge, *The Babar-name*. The material now available for a definitive text of the book, JRAS, January, 1908, стр. 93.

в „Бабур-наме“, то окажется объяснимой и его неравномерная употребляемость в контексте этого произведения. Выше уже отмечалось, что на протяжении первых 19-ти страниц текста, содержащих описание области Ферганы и изложение обстоятельств жизни и смерти отца Бабура — Омар Шейха, формы пассива с аккузативом объекта не отмечены. Точно также, если мы возьмем фрагмент описательного характера из второй части БН, а именно стр. 364—374, то там употреблены (не считая медиальных глаголов *ачіл-*, встретившегося 8 раз, и *јіһіл-* — 1 раз) формы пассива двух глаголов *-кесілса* (БН 369₁₈) в неопределенно-личном значении и *тіһілһан* в собственно страдательном значении; о своих собственных действиях в этом отрывке Бабур заявил 4 случаями использования форм пассива — *јејіл-* (366₂₀), *ичіл-* (370_{7,10}), *табіл-* (373₁₅).

Фрагмент, следующий почти непосредственно за разобранным, — стр. 380₉ — 390 — содержит динамическое повествование о действиях самого Бабура, что не замедлило сказаться на глагольном составе уже первой страницы отрывка — на стр. 380 употреблены следующие формы пассива с номинативом объекта: *берилди* (380_{12,14}) *ешитилса*, *ешитилгудек*, *бітилгудек* (380₉₋₁₀), *бітилмаган* (380₁₂), *јібарилди* (380₂₃). На последующих страницах использованы (помимо медиальных глаголов *кушул-* и *әјүрүл-* — по 2 раза, *ајріл-* и *бузул-* — по 1 разу, *јіккіл-* — 3 раза) формы пассива с номинативом: *бериліб еді* (387₉), *күјүлдї* (388₁₈), *табілмас еді* (381₁₈), *јаса-лїб тур* (390₇), *таъјін кїлїлдї* (385₈), *тутулдї* (384₂₂), *кўрсатилди* (386₁₁), *кўнарїлїб дур* (390₄), *јібарилди* (383₂₃, 384_{1,9}, 386₅, 387₆). Особо подчеркнем, что наряду с этим шесть глаголов здесь выступают с аккузативом объекта: *јібарил-* (385₁₁₋₁₃, 386₁₁₋₁₂, 387₂₋₃), *берил-* (383_{10,22-23}, 387_{1-2,7}, 385₈₋₉), *кўјүл-* (385₁₀), *тасавwur кїлїл-* (387₂₂), *кїлїн-* (382₈₋₉), *чабтурул-* (388₄₋₅); с аблативом части объекта — *берил-* (384₉₋₁₀).

Отметим, что формы пассива, в том числе и те, которые сохраняют управление своей основы, в БН могут быть употреблены для обозначения действий не только самого Бабура, но и посторонних ему лиц³³; в тех весьма редких для БН случаях, когда глагол в пассиве имеет форму 3-го л. мн. числа, совокупность этих двух форм передает обобщенное неопределенно-личное значение: *бу куталдін інгач ўзга ғаләмнї мулахаза кїлулурлар* (БН 162₅) „Спустившись с этого перевала, наблюдают обычно [совсем] иной мир“.

Наблюдения над механизмом образования пассива и над функционированием его форм в „Бабур-наме“ позволяют наметить некоторые черты,

³³ Ср. например: *бір фарсі ғарузи бар бісар кәм сухандур бір һисаб билә асру пўр сухән дур кәм сухән бу маънї билә керакїк нїмаларнї бітилмабдур* (БН 227₄₋₅) „Есть один перс Арузи. Весьма неслогоохотлив, [а] по одному отчету [наоборот] — очень многословен. Неслогоохотливый — в том смысле, что не пишет [и] нужных вещей“.

свойственные тому периоду в развитии категории пассива, который запечатлен в языке этого произведения староузбекской литературы рубежа XV—XVI вв.

Прежде всего в плане морфологическом — образование форм пассива от глагольных основ с исходом на *-л/-л* при помощи аффикса *-н-* не имело еще всеохватывающего (по отношению к указанным основам) характера.

В плане синтаксическом необходимо отметить, что сохранение глаголом в пассиве присущего его основе управления аккузативом объекта было узаконено в языке староузбекской литературы этого времени.

Благодаря той стороне залоговой характеристики пассива, которая состоит в акцентировании внимания на соотносительности глагольного действия с опущенным в предложении субъектом этого действия, в языке этой литературы стало возможным не только обычное употребление форм пассива в страдательном и неопределенно-личном значениях, но также и использование пассивных глаголов (с аккузативом и номинативом объекта и без него, включая сюда и формы пассива, образованные от глаголов движения) в стилистических целях умолчания об истинном производителе действия при повествовании от первого лица.

„GÖNÜL“ — GÜĞÜL

JOZEF BLAŠKOVIČ, Praha

Das ehemalige Osmanische Reich hatte eine äusserst gutorganisierte Administration, besonders die finanzielle, und hinterliess ungeheure Massen schriftlicher Belege. Für den Forscher, den Historiker, sind am wichtigsten die Defter der Grundbuchsauszüge (*tapu defterleri*), *kānūnnāme* und übriges Urkundenmaterial. Dieses Archivmaterial bildet ohne Zweifel eine grosse Möglichkeit, ausserordentlich wertvolle Angaben für die Wirtschafts- und Gesellschaftsgeschichte jener Völker, die seinerzeit im Osmanischen Reich lebten, zu gewinnen. Für die Geschichte dieser Nationen wird die Bearbeitung dieses Archivmaterials zu einer wichtigen Aufgabe werden.

In den letzten Jahren hat sich die Forschungs- und Editionsarbeit nicht nur in der Türkei, Bulgarien, Jugoslawien, Rumänien, Ungarn, sondern auch in Polen und bei uns erfreulich entfaltet. Es erschien eine ganze Reihe guter Grundwerke, Monographien, Kataloge, Studien, Übersetzungen u. ä.

Bei der Bearbeitung des Archivmaterials, stossen wir, ausser objektiver Hindernisse, wie z. B. die schwere Lesbarkeit der Handschriften, besonders der im *siyākat*¹ geschriebenen, noch auf andere Schwierigkeiten, wie z. B. auf die unrichtige Lesung einiger Wörter oder auf unbekannte Wörter, oder auf unklare und unbekannte Begriffe. Einige dieser Wörter oder Ausdrücke richtig zu erklären, versuchten einige Forscher² durch Untersuchungen auf Grund breiteren Materials oder auf logischem Wege.³

Hier möchte ich die Erklärung des Wortes „gönül“⁴ geben, dem wir häufig in den *kānūnnāme*⁵, Konsignationsdefter und anderen Urkunden begegnen.

¹ L. Fekete, *Die Siyākat-Schrift in der türkischen Finanzverwaltung I–II*. Budapest 1955; *ibid.* Rechnungsbücher türkischer Finanzstellen in Buda (Ofen) 1550–1580, Budapest 1962.

² Z. B. Bistra Cvetkova, *Obeižženia podatkové raji w Bulgarii w czasie niewoli tureckiej, związane z utrzymaniem zajazdów (menzili)*. Przegląd orient. 2 (26) pp. 193–198; Vera Mutaščijeva, *O osmańskieji kategorii podatkovéj „Bad-u hava“* (XV–XVI. w.). Przegląd orient. 3 (27). S. 305–311; N. Filipović, *Izraz tahvil. Prilozi za orijentalnu filologiju i istoriju jugoslovenskih naroda pod turskom vladavinom*. II. Sarajevo 1952, S. 239–247.

³ Šopova in Glasnik na Inst. za nac. istoriju III/1. Skopje, S. 286 und 292.

⁴ Das Wort „gönül“ wird im Wörterbuch *Türkçe Sözlük, Üçüncü baskı. Ankara 1959*, auf

Dieses Wort „gönül“ kommt in Verbindung mit Wörtern vor, die landwirtschaftliche Produkte, die unter den Zehent fallen (‘öşür), bezeichnen, z. B.:

Im 8. Punkt des *Kanun-ı reâya-yı Cezîre-i İmroz*⁶ können wir lesen: „...hububât einsinden ve olan yerlerde gögülden (gönülden)⁷... ‘öşür virürler.“ („...von jeder Getreideart und vom gögöl (gönül) dort, wo sie sich befinden, sie geben den Zehent“).

Im 25. Punkt des *Kanunname-i Vilâyet-i Nigebolu*⁸ steht: „Ve nuhuddan, ve mercimekten ve bakladan ve böğrülceden ve gönülden⁷ ve erguvandan ve meyveden ve bostandan ‘öşür alına“. (Es möge der Zehent eingefordert werden von Kichererbsen und Linsen und Saubohnen und Bohnen und gönül,⁷ von Judasbäumen und vom Obst und den Gärten.)

Im 6. Punkt des *Kanunnâme-i Liva-i İlbasan ber mucib-i Defter-i ‘Atık*:⁹ „...ve cümle hububattan ‘öşür... alınub hemen gönülden⁷ ve zağfrandan alınmaz“.¹⁰ (Es wird genommen der Zehent von jeder (Art) Getreide, nur vom gönül und Safran wird er nicht genommen.)

Ähnlich stossen wir auf das Wort „gönül“ bei Barkan Nr. XCVI im *Kanunname-i Vilâyet-i Mora* aus dem J. 1716 (S. 329), in Nr. XCIX im *Kanunname-i Ağrıboz* aus dem J. 1569 (S. 341), wo steht: „...Ve kozdan ve bademden ve cins meyveden ve gönülden ve kenevirden müslümandan ve kâfirden onda bir ‘öşür alınur ziyade alınmaz“. (Als Zehent wird gefordert ein Zehntel von Nüssen, Mandeln und (guten) Obstarten; und von gönül und Hanf sowohl von Musulmanen als auch Ungläubigen wird er nicht genommen.)

Barkan bemerkte bei Nr. CVI., S. 391, beim Wort „gönül“, dass es geschrieben wird: *kökel*.

Hadiye Tunçer¹¹ transkribiert die Form *kökl* als *kökül*, und *kökel*, aber übersetzt und erklärt sie nicht.

diese Weise definiert: *sevgi, istek, düşünüş, anı ve hatıra gibi ruh hallerinin yürekte bulunduğu farz edilen kaynağı*; H. C. Hony, *A Turkish-English Dictionary*, Oxford 1957 gibt an: *Heart; feelings; affection; mind; inclination; courage*. Es ist klar, dass dieses Wort „gönül“ mit dem gönül, das Herz bedeutet, nichts gemeinsames hat. Ö. L. Barkan (*Kanunlar*, s. 539) gibt diese Erklärung: *Gönül* = günlük otu mânasına alınan fakat telâffuz şeklini tesbit edemediğimiz bir kelime.

⁵ Ö. L. Barkan, *XV inci ve XVI ncı asırlarda Osmanlı İmparatorluğunda ziraî ekonominin hukukî ve malî esasları*. I. *Kanunlar*, İstanbul 1945; Hadiye Tunçer, *Osmanlı İmparatorluğunda Toprak Hukuku*, Arazi Kanunları ve Kanun Açıklamaları, Ankara 1962.

⁶ Ich zitierte aus dem Werk *Barkans Kanunlar*, s. Anm. 5. (Weiter nur Barkan). *Barkan* Nr. LXVI. aus dem Jahre 1519, S. 239.

⁷ *Barkan* gibt hier unter der Zeile eine Anmerkung, in der er das Wort mit arabischer Schrift schreibt: *kökl*.

⁸ S. *Barkan*, Nr. LXXIX, S. 270, aus der Zeit Sultan Süleymans.

⁹ S. *Barkan*, Nr. LXXXIV, S. 293, aus dem J. 1613.

¹⁰ Im 5. Punkt des *Ohri Kanunu*, s. *Barkan*, S. 293 aus dem J. 1613 steht wörtlich dasselbe.

¹¹ S. Anmerkung Nr. 5.

Moh. Mujić in seiner Übersetzung¹² des *kānūnnāme* aus Skutari (Skadar) aus d. J. 1570 liest die Form *kvkl* als „*gönül*“ und bemerkt: „*U pristupačnim rječnicima nisam mogao naći odgovarajuće značenje ovoj riječi u ovakovom tekstu. Kao što je poznato riječ kvkl znači „srce“, a na ovom mjestu takav smisao ne odgovara. Zato sam tu riječ ostavio neprevedenu. Napominjem da je i Barkan ovu riječ pročitao „gönül“.*“

Weiter finden wir den Ausdruck „*gönül*“ im *kānūnnāme* von Amphis (*Kānūnnāme-i Şalna*) und im *kānūnnāme* von Ochrid, veröffentlicht in der Zeitschrift *Glasnik na Inst. za nac. istorija*, III/1, Skopje 1959, S. 286 und 292. Hier hat Frau Šopova das Wort „*gönül*“ richtig mit „*kožurci na svilena buba*“ d. i. *Kokon*, übersetzt, aber nicht richtig als „*gönül*“ gelesen.

Aus den Zitaten geht klar hervor, dass die grafische Form des Wortes „*gönül*“ in arabischer Schrift (*kvkl* oder *kvkl*) „*güğül*“ gelesen werden soll, was in der Tat *Kokon* bedeutet. Dieses Wort ist im *Türkçe Sözlük* (siehe Anm. 4.) nicht angeführt, wir finden es jedoch in anderen Wörterbüchern, bei Hony,¹³ *Magazanik*¹⁴ und im *Söz Derleme Dergisi*.¹⁵

Das Wort *güğül* stammt vom lateinischen Wort *cucul(l)a* mit der Bedeutung *Kogel* (*Kopfbedeckung*), *Kogelhaube*, das sich mit verschiedenen abgeschatteten Bedeutungen in zahlreiche Sprachen verbreitet hat. Das tschechische Wort *kukla* (Puppe, des Insekts) und die Kopfbedeckung *kukla* Kogelhaube, das russ. *kukolka*, *kukla* (Spielzeug, Puppe), das bulgarische *kukla* mit gleicher Bedeutung, das serbokroatische *kukuljica* (Kopfbedeckung), das ungarische *csuklya* (Kopfbedeckung), das pol. *kukla*, das französische *cagoula*, das deutsche *Kogel* usw. haben einen gemeinsamen Ursprung aus dem lateinischen Wort *cucul(l)a*. (Siehe Bárczi, *Magyar Szófejtő Szótár*, Budapest 1941, Brückner, *Słow. etym. jęz. polskiego*, Warszawa 1957, usw.)

Über die Bedeutung und die Verbreitung dieses Wortes finden wir die Erklärung im Artikel A. Tietzes: *Die griechischen Lehnwörter im anatolischen Türkisch*, *Oriens* (1955), S. 227—228, unter Nr. 149. Das Wort findet sich in anderer Form und anderer Bedeutung in einigen Gegenden Anatoliens:

küfül (*Kokon*), in der Umgebung von Aydın; DD. II. 1003);

güğül (*Seidenraupe*), Gelibolu; DD. II. 682;

güvül (*Seidenraupe*), Çanakkale; DD. II. 693;

güvül kuşu (*Seidenraupe*), Muğla; DD. II. 693;

Nach Ansicht Prof. A. Tietzes wurde das lateinische Wort *cuculla* ins Neugriechische mit der ursprünglichen Bedeutung übernommen; von hieraus gelangte es

¹² S. *Kanuni i kanunname*, Sarajevo 1957, S. 187.

¹³ H. C. Hony, *A Turkish-English Dictionary*, Oxford 1957, S. 126: *güğül* — *Cocon* (from which the moth has emerged).

¹⁴ D. A. *Magazanik, Turecko-russkij slovar'*, Moskva 1945, S. 220: *güğül* — *kokon*.

¹⁵ *Türkiyede Halk Ağzından Söz Derleme Dergisi* (weiter nur DD.) Cilt 2, S. 682, Istanbul 1941: *güğül* — *delik ipek kozası* (Konya, Bursa).

in die slawischen Sprachen und ins Ungarische. Aus dieser neugriechischen Form entstand auch das türkische Wort *kukula*, *gugula*, *güğüle* (DD. II. 682), das in den anatolischen Dialekten folgende Bedeutungen aufweist: „kukulete“ (die Kapuze; capuchon), „gelin başlığı“ (Brauthaube), „tavuk tepeliği“ (Schopf auf den Köpfen von Hühnern).

Das Ende *-a* bei diesen übernommenen Wörtern wird stets beibehalten.

Bei der neugriechischen Verkleinerungsform „*kukuli*“ wird bei der Übernahme in fremde Sprachen das Ende *-i* stets reduziert. Aus diesen Formen ergab sich in den slawischen Sprachen die Form „*кुकѹль*“, das altrumänische, „*ciculiu*“ (papaz şapkası = Kopfbedeckung des Geistlichen) und die türkische Form „*güğül*“ mit den obenerwähnten Formen und Bedeutungen.

REMARKS ON THE LIFE AND WORK OF YÜ TA-FU UP TO 1930

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Introduction

This study attempts to give a survey of the life and work of the writer Yü Ta-fu(1) up to the year 1930, up to the time when he joined the League of the left-wing writers. Thus it deals with the earlier period of his work, the period during which several of his most important works were written.

Like the work of most of the members of the „Creation Society“, to which Yü Ta-fu belonged, his writing is strongly marked by subjective traits. Indeed, they are even stronger in Yü Ta-fu than in his fellows. His own life, his own feelings and experiences were the main source of his work. This tendency which was so characteristic of the Chinese literature appearing under the influence of the May 4th Movement of 1919 called for particular attention. For this reason my study deals in the first place with the connection between Yü Ta-fu's life and his work.

Some opinions and conclusions in my report are results of the study of a rather insufficient material at my disposal and it means they are in a considerable extent subjective. It is possible that in future studies on Yü Ta-fu on the base of extensive sources some of them will be completed, precised and probably changed.

I have used the chronological method throughout the whole study, pointing out the conditions under which each of the writer's works came into being. At the same time I have tried to show through his works his inner development, the road which has brought a writer who was close to decadence and gloomy pessimism to understanding of Marxism, and into the ranks of the League, of the left-wing writers. For the same reason I have not treated the political articles separately, but placed them in chronological order in different chapters, according to the events of Yü Ta-fu's life.

For these reasons I have not followed the classification adopted by Li Chin-ming (2), Ta-fu ti san shih-ch'i (3), *The three periods in the work of Ta-fu*, which divides his work into three periods as follows:¹

¹ Li Chin-ming, Ta-fu ti san shih ch'i, *The three periods in the work of Yü Ta-fu*. Yü Ta-fu p'ing-chuan (4), *Critical studies of Yü Ta-fu*, Shanghai 1931, p. 180, edited by Su Ya (5). Quoted below as Su Ya.

1. Ch'en-lun (6), *Drawing*.
2. The volume Han-hui-chi (7), *Cold ashes*.
3. The volume Kuo-ch'ü-chi (8), *The past*.

This classification has been made according to the separate volumes without considering their connection with the author's life, nor does it seem to me that these volumes marked any particular turning point in the author's development.

Following the principles set out above I have divided my study as follows:

- I. Brief biography. (This offers a brief survey of the facts in order to give a clear scheme of the dates. The details are then given in the appropriate chapters.)
- II. The initial years, 1921—1922.
- III. The period from 1923 to Yü Ta-fu's departure for Canton in March 1926.
- IV. The years 1926—1930.
- V. Translations and theoretical works.

I have not given a list of Yü Ta-fu's works, since this can be found in many places, among others in Henri van Boven's *Histoire de la littérature Chinoise moderne*,² in a volume of studies of Yü Ta-fu³ which also quotes the publishers of each work, and Ting I (9), Yü Ta-fu hsüan-chi (10), *Selection from the writing of Yü Ta-fu*.⁴

I. Brief biography

The time in which Yü Ta-fu lived and worked, a time of sharp contrasts and conflicts throughout Chinese society, left an indelible mark on his writing.

He was born in 1896 in Fu-yang (11), a little town on the river Fu-ch'un (12) in Che-chiang province. We know no details about his family. Professor J. Průšek states that he came from a very conservative family.⁵

He attended the secondary school in Hang-chou, and later went to a missionary school. In 1911 he went to study to Japan and after graduating from the Faculty of Economics at the Imperial University of Tokyo he returned to his homeland in 1922.

During his stay in Japan he came into contact with other Chinese who were interested in literature and art. The literary group Ch'uang-tsao-she (13), „Creation Society“, important for the development of Chinese literature, was early formed here, and Yü Ta-fu along with Kuo Mo-jo (14) and others became pillars of the Society. During his stay in Japan he himself began to write. For a short time after he returned to China he worked as a teacher in An-ch'ing, and then went to Shanghai

² Henri van Boven, *Histoire de la littérature Chinoise moderne*, Peiping 1946, p. 75.

³ Su Ya, op. cit., pp. 175—177.

⁴ Yü Ta-fu hsüan-chi, *Selection from the writing of Yü Ta-fu*, Peking 1957, p. 235.

⁵ Jaroslav Průšek, *O činském písemnictví a vzdělanosti*, Chinese literature and culture, Praha 1947, p. 241.

with his wife and son. He had no job here, and so when in 1923 he had the chance to take a post of lecturer at the Peking University he accepted it. At the beginning of 1925 he went to Wu-han as a Professor at the Pedagogical Faculty,⁶ where he soon found himself in conflict with some of the older professors and with the nationalist group in the Faculty.⁷ He lost job and returned to Shanghai. On March 19th 1926 he went to Canton to lecture at the Sun Yat-sen University. At the end of 1926 he returned to Shanghai again.

In 1927 he parted company with the „Creation Society“. Later he became one of the founders of the democratic organization Min-ch'üan pao-chang tzu-yu ta t'ung-meng (16), Democratic League in Defence of Freedom, and editor of several papers. In 1933 he went to Hang-chou and from there to Fu-chien in 1936, and worked there as an official of the Fu-chien Provincial Government. Then began the time of his escapes from Japanese spheres. At first he lived in the southern coastal provinces, in 1939 he went to Singapore, and when the Japanese occupied Singapore he went to Sumatra. For a time he was forced to act there as interpreter to the Japanese army. He wrote articles to rouse the people of China against the aggressor. He was not strong enough in health to take arms himself. A week after the capitulation of Japan, in 1945, he disappeared, murdered probably by the Japanese police.

II. *The initial years, 1921—1922*

Yü Ta-fu began his literary career while he was a student in Japan from 1911 to 1922.⁸

His enthusiasm for literature was rooted in his earliest youth. At home and later in the secondary school in Hang-chou he was a great reader. At that time he read mainly old Chinese poetry and prose. In Japan, too, he read a great deal. Tseng Hua-p'eng and Fan Po-ch'ün (17) state that in the course of four years Yü Ta-fu read over a thousand books.⁹ Kuo Mo-jo writes with admiration that there was no student in their group whose reading could equal that of Yü Ta-fu.¹⁰ He liked to read American and English literature, particularly novels. He was well acquainted

⁶ J. Schyns states that he was lecturing at Wu-ch'ang ta-hsüeh (15), Wu-ch'ang University. J. Schyns, *1500 modern Chinese novels and plays*, Peiping 1948, p. 114.

⁷ I have not been able to trace details of the nationalist group at the Wu-han teachers training college in the sources available.

⁸ All sources agree that Yü Ta-fu returned to China in 1922, except for Henri van Boven who states (op. cit., p. 74) that he came back in 1921. We have adhered to the date 1922.

⁹ Tseng Hua-p'eng, Fan Po-ch'ün, Yü Ta-fu lun (18), *On Yü Ta-fu*. Printed in the periodical Jen-min wen-hsüe (19) 1957, 5, p. 184.

¹⁰ Kuo Mo-jo, Li-shih jen-wu (20), *Historical figures*, Shanghai 1952, p. 302, the article Lun Yü Ta-fu (21), *On Yü Ta-fu*.

with Chinese literature, too. He could speak English and German, and while still in the preparatory course he wrote good verse in the classical style.

He made acquaintance of Kuo Mo-jo at the preparatory course for the Upper Secondary School in Tokyo in 1914. This school ran a one-year preparatory course for Chinese students, specializing in three branches: social sciences, natural sciences, and medicine. Kuo Mo-jo states that Yü Ta-fu began studying in the first course, changed over to the third, and then went back to the first again.¹¹ After this one-year course the students could study at any Upper Secondary School in Tokyo.

Yü Ta-fu read a great part of Russian literature: Tolstoy, for example, Dostoievsky, Chekhov and Gorky; but the greatest influence of all was Turgenev.¹² I was not able to find out precisely which of Turgenev's works he had read, and it is therefore difficult to attempt a precise evaluation of the letter's influence on him, but the general mood of his early work is very close to that of Turgenev. The author himself admits his influence.¹³

While he was studying in Tokyo Yü Ta-fu got to know many students who later became important names in Chinese literature. It was among these students that the plan to found the „Creation Society“ was formed. Kuo Mo-jo states that it was in the second half of 1918 that the idea was first considered, in a group of people interested in literature, among them Kuo Mo-jo, Yü Ta-fu, the critic Ch'eng Fang-wu (25), the dramatist T'ien Han (26), Chang Tzu-p'ing (27), the writer of erotic novels, and others.¹⁴ Yü Ta-fu took an enthusiastic part in this work and was one of the founders of the Creation Society which was formally instituted at the beginning of June 1921 in his flat. They agreed on the name Ch'uang-tsao-she, „Creation Society“, and decided to publish a quarterly. Yü Ta-fu promised that he would write an article of 10,000 characters for every number, whether it was a quarterly or a monthly.¹⁵

By this time he was a student of economics at the Imperial University in Tokyo, and indulged in writing. In 1921 he completed his first story Ch'en-lun, *Drowning*. He wrote others, too, such as Nan-ch'ien (30), *Moving south*, Yin-hui-se ti szu (31),

¹¹ *Li-shih jen-wu*, p. 301.

¹² Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 186.

¹³ In 1933 he wrote two articles on Turgenev: T'u-ko-nie-fu ti „Lo-t'ing“ wen shih i-ch'ien (22), *Before Turgenev's Rudin raised the question*; and T'u-ko-nie-fu ti lin-chung (23), *Turgenev on the verge of death*. They are printed in Yü Ta-fu's volume Hsien-shu (24), *Light literature*, Shanghai 1936. Quoted below as Hsien-shu. In the first article he wrote: „Of the many foreign authors old and new, great and small, it is Turgenev whom I like best and know best, and although I have read more of his work it cannot bore me... because when I began to read prose and when I began to write prose I was entirely under the influence of this northern giant with the delicate face, rather sad eyes and long beard.“ Hsien-shu, p. 85.

¹⁴ *Li-shih jen-wu*, p. 302.

¹⁵ Kuo Mo-jo, Ko-min ch'un-ch'iu (28), *Annals of the revolution*, Shanghai 1952. See Ch'uang-tsao shih-nien (29), *Ten years of Creation*, pp. 15—176.

Silver-grey death, Wei-ping (32), *Stomach trouble*, Feng-ling (33), *Wind bell*, Huai-hsiang ping-che (34), *Sick with longing for home*, etc.¹⁶

When he had finished his studies he returned home; there are no precise details in the sources concerning his stay in Japan but Henri van Boven says that wine and women occupied him more than his studies in Japan.¹⁷ It is not unlikely that economics failed to absorb his interest; *Drowning* leads us to suppose that he indulged in sentimental and decadent moods. At the same time we have only to see how much he wrote at this time to realize that he must have been working very hard.

Drowning is the work which is most representative of this period; the story is undoubtedly largely based on the author's own experience.¹⁸ It describes a young Chinese student in Japan, an oversensitive and over-susceptible young man who suffers from loneliness. He does not know how to become friendly with the Japanese because he feels that they despise the Chinese; nor can he find a kindred soul among his fellow-countrymen. He takes refuge from the world in a mountain retreat. He does not know how to cope with his over-strong erotic emotions. In the end he involuntarily finds himself in a brothel. He suffers because he cannot find love, and cannot even buy it. He feels so profoundly helpless and desperate that after he leaves the brothel he drowns himself.

It is probable that in this story the author expressed himself, his own emotions during his stay in Japan. There are some factual resemblances between the author and the hero of the story, such as identity of birthplace, the fact that both changed the preparatory courses they have been attending, and so on.

Ch'eng Fang-wu in Ch'en-lun ti p'ing-lun (35), *A critical study of Drowning*, argues against the widely accepted view that this story has as its main theme the conflict between physical and spiritual demands.¹⁹ In addition he maintains that it deals not with the opinion of Ch'eng Fang-wu: the hero does not long simply for physical satisfaction, but for true love. He writes in his diary: „I do not want knowledge, I do not want glory, I want nothing but one heart to comfort and understand me. The sympathy born of such a heart.“²⁰ As he leaves the brothel he says to himself: „I can probably never find the love I want.“²¹

He is a sensitive observer of nature, following nature's moods and being influenced by them. He takes refuge from the world in nature. On the one hand he looks down

¹⁶ The last five works I was unable to find in any of the accessible material. Their titles and the statement that they were written in Japan I have taken from Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 184.

¹⁷ H. van Boven, op. cit., p. 76

¹⁸ Yü Ta-fu hsüan-ch, pp. 1-40.

¹⁹ Su Ya, op. cit., pp. 17-26.

²⁰ Yü Ta-fu hsüan-chi, p. 10.

²¹ Ibid., p. 39

on humanity, but on the other hand he would like people to come to him, he would like to be friendly with them even when he feels that they have nothing but scorn and insults for him. In one place he calls: „I forgive you! I forgive all you who have insulted me, I forgive everything. Come, come, come all of you and let us make peace.“²²

In this story the author also stresses patriotic feeling. The hero realizes how weak and helpless his country is, he wants it to grow stronger and richer, but being alone, he himself has no strength to help his country and does not even know how to do it. At the last moment before he commits suicide he thinks of his country. His last words are: „My country, my own country! It is you that has brought me to this death. Get rich quickly, get strong quickly! You have too many suffering sons and daughters.“²³

The story makes a pessimistic impression; the hero does not know what to do and so he commits suicide. The author gives a profound and sensitive analysis of the spiritual and emotional life of his hero, a complete picture of the problems facing a young man who does not know what to do with his life; he offers no way out. Many authors consider that the hero of *Drowning* is typical of young Chinese intellectuals of the time. Perhaps this is why the story was so tremendously successful among young people. They saw themselves in it; their own problems and sufferings. The book is an expression of that „mal de siècle“ widespread among the youth of China at that time. „Werther“ was their Bible.

This, the first of Yü Ta-fu's works, bears certain marks of decadence, and it is probably the reason why he is considered by many critics to be a decadent writer. This label is certainly affiliated to him with some justification during this initial stage of his work. But we should not forget why Yü Ta-fu wrote this story. He left China in 1911 and wrote the story in 1921; between these years he was living in Japan. Much had changed in China during those years, but Yü Ta-fu knew nothing of that. In Japan he saw the tremendous expansion of capitalism, the expansion of industry, and when he compared it with China, with the China he knew before 1911, he was bound to feel the poverty of his country, the country he loved so dearly. In these circumstances it was very natural for him to feel prey to pessimism. In addition, he suffered from depression all his life, from a tendency to shut himself off from the world and analyse his own sufferings and errors. He was as over-sensitive as the hero of his first story.

To conclude this appreciation of the story *Drowning* I should like to quote one of the views expressed by Henri van Boven, and comment on it.²⁴ Referring to Ch'ien Hsing-ts'un (36), Boven states that *Drowning* shows the influence of French

²² Ibid., p. 29.

²³ Ibid., p. 40.

²⁴ H. van Boven, op. cit., p. 76.

naturalist literature, bringing Yü Ta-fu to the edge of the moral abyss.²⁵ In *Drowning* itself there is only one mention of this literature: „He began to feel a revulsion for his textbooks, and kept on reading naturalist French novels and a handful of famous pornographical Chinese texts, until he almost knew them by heart.“²⁶ It is quite clear from the context, however, that the hero was reading this literature as the result of finding himself on a „moral precipice“, and not that his reading had brought him there.

After returning to China Yü Ta-fu lived for a short time in Shanghai before taking a job as a teacher in An-ch'ing. Soon he went back to Shanghai, however, although he had no job there. Kuo Mo-jo says that at this time he was already married and had a little boy called Lung-erh (38).²⁷

The Creation Society was preparing the first number of its periodical Ch'uang-tsao chi-k'an (39), *Creation Quarterly*, which should have appeared at the beginning of 1922. Kuo Mo-jo did the whole number himself except for Yü Ta-fu's story Mang-mang yeh (40), *Deep night*. Yü Ta-fu did not finish the story until February 1922 and so the first number appeared as late as May.

Many well-known writers came out against *Creation Quarterly*; according to Kuo Mo-jo they accused Yü Ta-fu of being a decadent, reproaching him for the erotic nature of his writing.²⁸ Meanwhile Kuo Mo-jo had left for Fukuoka and Yü Ta-fu wrote him a despairing letter enclosing an issue of the weekly paper Nu-li chou-pao (41), *Endeavour weekly* in which Hu Shih (42) sharply attacked the members of the Creation Society.²⁹

The central figure in the story *Deep night* is an intellectual, Yü Chih-fu (43), who is taking farewell of his friend Wu Ch'e-sheng (44) as he leaves to take up a post as teacher in A.³⁰ Here he learns that there is trouble in the school; the headmaster has come into conflict with the authorities, who have bribed some of the students to cause disturbances in the school. Yü becomes one of the most popular teachers. His private life is unhappy, for he longs for love which he does not encounter. The scandalous going-on in the school continues and teaching is interrupted; teachers leave the school because conditions do not improve. The new headmaster makes no attempt to bring matters into proper order. Yü has nothing to do and he goes to a brothel with a colleague. Yü wants a girl who is neither good-looking nor young, and has few visitors. He chooses Begonia. When he leaves the brothel he feels he is no more than „a living corpse“.

²⁵ Hsien-tai Chung-kuo wen-hsüeh tso-chia (37), *Contemporary Chinese writers*, Shanghai 1930, Vol. 1, p. 26.

²⁶ Yü Ta-fu hsüan-chi, p. 19.

²⁷ Ko-ming ch'un-ch'iu, p. 160.

²⁸ Ibid., p. 133.

²⁹ Ibid., p. 148.

³⁰ Yü Ta-fu, Ta-fu ch'üan-chi (45), *Collected works of Ta-fu*, Shanghai 1927, 1.

The story is absorbingly written, without the long descriptions of hero's mental state and the considerations found in *Drowning*. There is a great difference between these two works, written at such a short distance of time. In *Drowning* the hero thinks and acts quite independently of other people. Yü in *Deep night* is no longer shown in such an individualist light. He has definite aims — he wants to make a success as a teacher and is glad when he does. When he sees the headmaster attacked by the authorities, he clearly takes his stand against them. When Yü Ta-fu was writing *Deep night* he was living in China, where he had to earn a living and take a part in everyday life, and this fact colours his work differently.

In this story we find profound and beautiful descriptions of nature and the surroundings. Yü Ta-fu uses the method of direct description to present his characters. Amongst other things he writes this of Yü Chih-fu: „His was not a banal face, but had no special traits. Two small eyes and a large nose in a face of regular features, that is his portrait.“³¹ K'uang Ya-ming (46) quotes this description, saying: „This is the portrait of himself Yü Ta-fu gives us in *Deep night*.“³²

As in most of Yü Ta-fu's works, we must consider the question of autobiographical elements in this story. We know nothing more about author's stay in An-ch'ing than that he was a teacher there, going there shortly after his return from Japan, and shortly afterwards going back to Shanghai. Similarly, the hero of the story after returning from Japan and before going to A, lives for a short time in Shanghai which offers another striking similarity.

The effect of the author's stay in Japan is still to be felt in his work. But although he did not find life in his own country particularly pleasant, and although his own financial situation was not very good, he in his reminiscences of Japan does not overpraise this country or show regret that he is no longer living there. All this can be seen in the short sketch Kuei-hang (48), *Coming back by boat* which he wrote in Shanghai on June 26th 1922.³³

Another story from the 1922 is Ts'ai shih chi (50), *The coloured cliff* dated November 20th.³⁴ The hero is a historical personage, the neurasthenic intellectual and poet Huang Chung-tse (51) in the second half of the eighteenth century. He suffers so much from lack of recognition of his poetry that he falls ill, not knowing how to go on living. When he gets well he writes a poem which makes him famous.

Here Yü Ta-fu remains faithful to his profound description of the mind of man and of nature. Huang Chung-tse in many ways resembles the hero of *Drowning*; they both repel people yet long for their society. It is also significant that the poems of Huang Chung-tse were the favourite reading of the hero of the story *Drowning*.

³¹ Ibid., story, mentioned, p. 3.

³² Su Ya, op. cit., article *Yü Ta-fu yin-hsiang chi* (47), p. 1.

³³ Yü Ta-fu, *Ta-fu san-wen chi* (49), *Prose works of Ta-fu*, Shanghai, pp. 35—47.

³⁴ Yü Ta-fu *hsüan-chi*, pp. 41—60.

We have seen how successful Yü Ta-fu was from the early beginning of his career as a writer. Kuo Mo-jo says that the first number of *Creation* was not remarkable for its contents, but that *Deep night* was a great work.³⁵ Yet none of Yü Ta-fu's later works seems to have been so successful as his first book, *Drowning*. In their article Tseng Hua-p'eng and Fan Po-ch'ün report that the story was published in an edition of 20,000 copies and that people travelled to Shanghai from very far to get it.³⁶ Li Chin-ming says of the story *Drowning*: „It broke with tradition and convention; when it was published *Drowning* did not influence literature only. I should go so far as to say that it brought about a change in the morale of Chinese society.“ He goes on to say that the rebellion of the revolutionary-minded young people rose from reaction against the great suffering portrayed in *Drowning*. Li Chin-ming considers *Drowning* to have been even more influential than Lu Hsün's (52) Na-han (53), *Call to arms*: „... this real expression of emotion is more moving than the relatively open proclamation of *Call to arms*.“³⁷

These are certainly one-sided views, but they serve to emphasize the great success of Yü Ta-fu's story in China.

Most critics, when talking about Yü Ta-fu as the author of *Drowning*, call him the portrait-painter of the disease of the time. Tseng Hua-p'eng and Fan Po-ch'ün said that many young people when reading *Drowning* felt that Yü Ta-fu had expressed their own inner demands.³⁸ Naturally, the story was successful with the disturbed minds of young Chinese intellectuals at that time, because it expressed their painful searching.

In his analysis of the background to Yü Ta-fu's work during this initial period Ch'ien Hsing-ts'un says that Yü Ta-fu's writing was influenced by such facts as the loss of his father at an early age, lack of motherly love, an unhappy marriage, financial worries, and the tragic life of the working class of China which he could see around him.³⁹

Even in this initial phase of his career we see the author as a profound psychologist and a sensitive observer who sees deep into the life of the emotions, observes nature with a profound sense of its changing beauties, and knows how to give literary form to both subjective emotions and outward beauty.

In his approach to social problems, at this stage Yü Ta-fu is still searching and has not yet found a solution. His revolt is only an emotional one. At this period, both in his life and in his writings, his attitude is near to sentimentality and decadence.

He is profoundly moved by the hopeless state of China, but Yü Ta-fu, the petty-bourgeois intellectual, does not yet see the cause of the situation; he lives isolated from the working people, looking at everything from the side—and suffering.

³⁵ Ko-ming ch'un-ch'iu, p. 130.

³⁶ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., pp. 184—185.

³⁷ Su Ya, op. cit., p. 79.

³⁸ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 185.

³⁹ Su Ya, op. cit., p. 37.

III. The period from 1923 to March 1926 (departure for Canton)

The year 1923 marked a great step forward. The workers were going on strike and Yü Ta-fu could not fail to see it.

At this period he became very interested in Herzen and in 1923 wrote a study on Herzen: Ho-erh-ch'in (54), *Herzen*.⁴⁰

On May 19th 1923 Yü Ta-fu wrote an article entitled Wen-hsüeh-shang ti chieh-chi tou-cheng (55), *The class struggle in literature*.⁴¹ He was an adherent of art that was bound up with life. He spoke of literature after the Renaissance as the pastime of monarchs and degenerate aristocrats who would not allow the proletariat any share in literature at all. The romantics were in opposition to them. New writers appeared on the scene which had been shaken by the great French Revolution and the American War of Independence. The romantics, building their castles in Spain, in the course of time became a literary aristocracy. Yü Ta-fu considered the naturalism fatalistic; it did not endeavour to find new life and could not develop to the full a joyous personality. Those of the young generation who were rebellious in a negative way became decadent symbolists, while those whose rebellion was positive became neo-idealist and neoheroic. Soon this became even more marked, art joined forces with the movement of real revolt, proletarian signals were heard and life joined with art. The author came to the conclusion that in the twentieth century the class struggle in literature would go along with the class struggle in society. In the fourth chapter he quoted literary examples to prove this, French (Baudelaire, Verlaine, Barbusse and others), German (Werfel, H. Bahr and others), Russian (he mentions Oblomov and A. Blok) and English (Shaw, H. G. Wells, Jack London, Upton Sinclair). Everywhere the younger writers were fighting against the class which held the property and the power. In this article Yü Ta-fu is already quoting Marx and Engels.

In 1923 Ch'en Pao-yin (56), professor at Peking University, left for the USSR and Yü Ta-fu took the chance of acting as his substitute, as a lecturer, all the more gladly since he was without a job in Shanghai. He leaves Shanghai and also the „Creation Society.“

March 7th 1923 is the date of the article Pei-kuo ti wei-yin (57) *A weak voice from the north of the country* which is written in the form of a letter to Kuo Mo-jo and Ch'eng Fang-wu.⁴² He sent it to his friends in Shanghai who published it in Creation. The article was written after the publication of Kuo Mo-jo's Ch'i-lu (58), *Crossroads*.⁴³ He admired the latter, and praised solitude and loneliness as the best source of inspiration.

On page 124 of this article he wrote that he did not want to stay at Peking longer

⁴⁰ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit. p. 190.

⁴¹ Yü Ta-fu hsüan-chi, pp. 176—182.

⁴² Ta fu san-wen chi, pp. 117—124.

⁴³ Ko-ming ch'un-ch'iu, p. 174.

than the end of the school year, and then he would like to return home to Che-kiang. If he did not get the money for the journey soon he would not see his friends in Shanghai until June. He intended to visit them on his way. This leads us to suppose that his next work, *Reminiscences on returning home*, has the autobiographical base and refers to this journey.

Huan-hsiang-chi (59), *Reminiscences on returning home*, was written in July 1923 and the sequel, Huan-hsiang hou-chi (60), *Further reminiscences on returning home*, in the following August.⁴⁴ Therein Yü Ta-fu describes his feelings of loneliness and unhappiness. He suffers from inferiority complexes. He is enchanted by the country he sees from train and boat, and would like to live there, but he fears that „I am no longer able to live in the country, for my physical strength, my nerves, have been sapped by the poison of present-day civilization and have crumbled away; I could never take a spade and plough and turn the clods up with the peasants!“⁴⁵ He does not see only the beauties of nature, but the work of man as well. „Courageous and upright peasants, you it is who keep the world going, you are the most important people in the world.“⁴⁶ He is ridiculing himself for not being able to keep even his own family alive. He recalls his son Lung-erh by name.⁴⁷

It is worth noting that this apotheosis of the peasant is typical of romanticism, just as the departure from the degenerate civilization to the simple country life. We know that the members of the Creation Society were very near to romanticism.

In his article Wu liu nien lai ch'uang-tso sheng-huo chih hui-ku (61), *Thinking over creative activities during the last five or six years*, Yü Ta-fu wrote: „I feel that the statement that the writer's work is his own autobiography is profoundly true.“⁴⁸ Yü Ta-fu went so far, as to make the diary and letter the best literary form of expression. In this, like other members of the „Creation Society“, he was carrying on the tradition of the bohemian and romantic poets of classical Chinese literature.

The diary form was used for Hai-shang t'ung-hsin (63), *Letters written at sea*.⁴⁹ I have found no reference to the date of composition of this work; the days concerned in the diary are marked October 5th, 6th and 8th. We may assume that Yü Ta-fu wrote it on his way back to Peking from visiting his home town. Here too there is a great deal of pessimism and a feeling of uselessness in life. In mood the *Letters* are very close to the *Reminiscences on returning home*. There is a mention of the fact that the author was reading Lenin at the time.⁵⁰

⁴⁴ Ta-fu san-wen chi, pp. 53—86 and 87—103.

⁴⁵ Ibid., pp. 64—65.

⁴⁶ Ibid., p. 65.

⁴⁷ Ibid., p. 98.

⁴⁸ In the volume Kuo-ch'ü chi, *The past*. I did not have access to this volume and have quoted from Wang Yao: Chung-kuo hsin wen-hsüeh-shih kao (62), *Outline history of modern Chinese literature*, Vol. 1., Shanghai 1954.

⁴⁹ Yü Ta-fu hsüan-chi, pp. 183—190.

⁵⁰ Ibid., pp. 183—184.

In July 1923 Yü Ta-fu wrote one of his most important stories, Ch'un-feng ch'en-tsui ti wan-shang (64), *Intoxicating spring night*.⁵¹ The heroes are a young girl working in a tobacco factory and an unemployed intellectual. They happen to meet in the poor boardinghouse where they live, and get to know each other. The girl tells the intellectual about her life and her job, and how she hates the factory that drives her to work and does not even give her adequate wages. The intellectual would like to work, but except for occasional translations he cannot find work, nor is he physically able to do manual work. In this story Yü Ta-fu shows profound understanding and knowledge of the psychology of the young working girl, depicting her moral strength and the heavy burden of her life. In the moral sense he places her above the intellectual of whom we may believe that he is in many ways an autobiographical figure.

The author uses the method of direct description extensively, in depicting the girl's appearance, the boardinghouse, and so on. These descriptions serve to create the atmosphere in which the spiritual drama of the hero—clearly intended to be the author himself—is played out. He often describes the girl's gestures in great detail, using her changes in expression to accentuate the dialogue. He does not describe the intellectual in detail, which follows from the fact that the latter appears only in the first person.

The theme which was new for the author and unusual for Chinese literature as a whole at that time, is very convincingly treated and given definite literary expression. A truthful view of working class conditions is combined with a profound and sensitive analysis of the inner life of the working class heroine, a young girl. The author does nothing to make this character different from the thousands of others in the Chinese working class; she is consistently typical for her class.

By its theme alone this story marks a great step forward in Yü Ta-fu's work, and was a pioneering act for Chinese literature. Tseng Hua-p'eng and Fan Po-ch'ün said that „this story has depicted a worker for the first time in the modern literature of our country.“⁵² In it the author has added a whole new sphere to his thematic possibilities. At the same time he shows that he knows this sphere well and is capable of giving it literary form.

As we have seen, this was the second time after the *Reminiscences on returning home*, that the working people have caught his attention. Compared with his view of the working people in the earlier story, *Intoxicating spring night* gives a closer and more fullblooded view. While the first was only a rather romantic view from the train (although even then, as we have seen, he did not forget how important the work of the peasants is for society), in the second story we find deep social sympathy and sound knowledge of the living conditions of the Chinese workers at that time, their financial and emotional problems.

⁵¹ Ibid., pp. 61–75.

⁵² Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 191.

There is no revolt against these conditions in the story; the author does not try to solve the problem of what to do about it, but it is significant for his development that he turned his attention as a writer to the simple people and their life.

In August 1924, according to the author it was at midnight, Yü Ta-fu wrote Li-ch'iu chih yeh (65), *Night in early autumn*.⁵³ This is a short descriptive night scene in which two friends meet, walk along together and do not need to speak in order to understand each other. The whole thing passes off almost in silence. The scene is described in a most poetic manner, the writing is sensitive and at the same time remarkably expressive, in such clear detail that the reader feels he can see the whole scene in front of him, like a picture. The whole story sketch could be described as an impressionist word picture.

After leaving Peking Yü Ta-fu did not write for Creation until *A weak voice from the north of the country*, inspired by Kuo Mo-jo's *Crossroads*. In Peking he contributed to the paper of T'ai-p'ing-yang she (66), The Pacific Ocean Society, which was interested in joining forces with the Creation Society and discontinue its own paper. Yü Ta-fu conducted the negotiations. The editors of the Pacific Ocean Society would have dealt with the political part and the Creation staff with the literary one. In the end they could not reach agreement and so no common action was taken on this platform.⁵⁴

In April 1923 Yü Ta-fu returned to Shanghai from Peking. In May 1924 the Creation Weekly had to be discontinued; the last issue published a common declaration by the Creation and the Pacific Ocean Societies that they were going to publish a weekly paper together; this was the weekly later known as Hsien-tai p'ing-lun (67), — Contemporary Criticism. Yü Ta-fu naturally had the agreement of Ch'eng Fang-wu, and he wrote to Kuo Mo-jo who was then no longer in Shanghai.⁵⁵ In the middle of May 1923 the Creation Weekly was discontinued.⁵⁶

In January 1924 Yü Ta-fu wrote the story Ling-yü che (68), *The superfluous man*, in Peking.⁵⁷ It is really a treatise on his own uselessness; he feels useless to the world, his country, and his family; he has the feeling that if he died the world would not suffer in the least. His country gave birth to him and has fed him, and it was all useless because he does not know how to do anything for it.

Still in Peking, in August 1924, Yü Ta-fu finished the story Po-tien (69), *A humble sacrifice*.⁵⁸ It is his most progressive work in idea and treatment after the *In-*

⁵³ Ta-fu san-wen chi, pp. 49—51.

⁵⁴ Ko-ming ch'un-ch'iu, p. 172.

⁵⁵ Ibid., p. 176.

⁵⁶ Ibid., p. 179.

⁵⁷ Ta-fu ch'üan-chi I.

⁵⁸ Yü Ta-fu hsüan-chi, pp. 76—87.

toxicating spring night. In a very sensitive and human story he tells of a rickshaw puller and his hard life. The „I“ in the story is once again an intellectual struggling with financial and spiritual problems.

In the story an intellectual begins a conversation with the man pulling his rickshaw, at first talking of this and that, until he discovers that they are almost neighbours. After this the intellectual takes this rickshaw more often and gradually the two men become friends. He learns that although the rickshaw man works hard from morning to night he does not even earn enough to live on, because he has to pay a large sum to the rickshaw owner. He complains that his wife is a bad menager; they have two children. One day the intellectual goes past the rickshaw man's house and hearing an argument, goes in. The man is angry because his wife has spent all his savings on cloth, but she argues that the children, her husband and she herself desperately need clothing. The husband is angry because he had been saving up to buy his own rickshaw, so as not to have to give up a part of everyday's takings to the rickshaw owner. The intellectual is touched and would like to help them, but he has no money and knows that the man would refuse to take it if he had. And so he unobtrusively leaves his silver watch lying in the table. Next day the rickshaw man comes to tell him he has forgotten his watch; the intellectual says it is not his. Then the intellectual falls ill and when he goes out into the street again he sees a crowd in front of the house where the rickshaw man lived, and hears lamentations. He thinks the man and wife are quarrelling again, but learns that a few days earlier the man was found drowned. People were collecting a few coppers for the widow, but she could take nothing in, weeping all the time. The intellectual drove the people out of the room and offered her his help, because he had saved a little money then. But the widow did not want to accept anything; all she asked for was a paper rickshaw to burn on her husband's grave as a symbol of his greatest desire. She had not even enough money to buy that. The intellectual had the paper rickshaw made, and ordering a rickshaw for the widow and her children, drove them across town to the grave. The people walking in the streets, a gay and careless throng of wealthy people, watched them curiously and the intellectual was angered by their looks. He would have liked to tell them out loud that they were responsible for the man's suicide.

This story has many points in common with the *Intoxicating spring night*. The „I“ in both tales, the intellectual, is very similar. In the first story he is placed in contrast to the independent young working girl living close by him in the same boarding-house; in the second one he is consciously comparing himself with the rickshaw man, and finding it an unfavourable comparison for him. He envies the man his family life, his little daily pleasures. He realizes how hard the man has to work and that he finds it difficult to keep his family. At the same time he knows he would not be capable of doing that, and that his parents have to keep his family for him. Once again we are left with the impression that the author is describing himself here.

We know that his health was poor, that he was living in Peking at that time, while his family was living in his hometown, Fu-yang.

In this work the author remains faithful to the method of direct description in the appearance of the characters and the environment. He makes it quite clear that in the rickshaw man he wants to depict all that is typical and magnificent in the working people.

This story shows that the author felt sympathy for the hard life of people like the rickshaw men, and that he would like to find a way out of the social injustice he saw, but the conditions of the time did not allow of any solution. He realizes that it is not enough to have the good will to share everything with the rickshaw man, but at that time Yü Ta-fu still did not know what else could be done.

In October 1924 he finished the story Ch'iu liu (70), *Autumn willows*, which he had begun in July 1922 as a continuation of *Deep night*.⁵⁹ The central figure is Yü Chih-fu from *Deep night*. The author picks up the thread of the story where the teachers are talking to the governor, who is not able to stop the students' disturbances. As long as he is undecided, there is no teaching and everybody waits for his decision. In the end the governor makes his mind up and expels the rebellious students, but the governor has to leave, too. Yü goes to the brothel to which Wu Feng-shih had introduced him, to visit Begonia who is neither goodlooking nor witty. Yü is sorry for her and tries to convince himself that he loves her and will help her. When teaching begins again the atmosphere in the school is strained and Yü has the feeling that the students no longer like him as much as they did. His colleagues remind him that his visits to the brothel must not be known in the town, but Yü shouts that he is not going to have his moral freedom fettered and that his enemies are no more moral than he is. Meanwhile he has got to know a young prostitute called Jasper Peach who reminds him of his friend Wu Ch'e-sheng. He loves her and tells her about his life, about his childhood and early youth. Not long afterwards he spends a night with Begonia, out of pity for her. He still loves Jasper Peach, but he does not want to hurt Begonia even when he finds out that she is not worth his consideration. The year ends and Yü returns to Shanghai. He says good-bye to them all and on board recalls his old friend, not knowing whether he is still alive or not.

The story is written in a similar style and similar vein to *Deep night*. Those passages in which he is telling Jasper Peach of his childhood and student years are in complete agreement with similar passages in *Drowning*, both in the general characteristics and in details such as the fact that he lost his father at the age of three, went to Japan with an older brother, and so on. It is also interesting to note that the hero of *Autumn Willows* returns to Shanghai on December 28th 1921; this is the year in which, according to Henri van Boven, Yü Ta-fu returned to China.⁶⁰

⁵⁹ Ta-fu ch'üan-chi, 1, pp. 1-64.

⁶⁰ Henri van Boven, op. cit., p. 74.

The story Hsiao-ch'un t'ien-ch'i (71), *Early spring weather*, is dated October 7th 1924.⁶¹ Again the hero is an intellectual, out of work; the other character is his friend, a painter. Yü Ta-fu shows here that he likes and understands painting; the story is clearly intended to ridicule the unrealistic approach to painting. In the years that followed the author wrote about painters.

The next story, Shih-i yüeh ch'u-san (72), *November the third*, is dated thus by the author's „Birthday 1924“.⁶² The hero thinks of his wife whom he „could not love but could not refrain from loving.“⁶³ He feels the lack of a happy home background. One morning he looks at the calendar and sees that it is his birthday. He is a teacher, but he excuses himself for the day and wanders about the town. Nothing can hold his attention or give him pleasure; he is unhappy and complains about his habit of selfcontrol. Seeing soldiers and disorder, everywhere, he comes to the conclusion that „the Chinese have still got money, there are still plenty of rich people, and so the inner disturbances may go on for a few years yet.“⁶⁴ He goes to the theatre and sees elegant, contented people; but he does not believe that they are really happy. At home he remembers that he once saw a pretty girl beyond the town. He goes there in the hope of seeing her again, but in vain. Returning home, he remembers his family and envies those whose family life is untroubled.

It is certain that Yü Ta-fu himself was born on November 3th; in his *Diary of a sick man* (see below for details) under the date 3. XI. 1926 (by the old calendar) he mentions celebrating his thirtieth birthday with some friends.

On November 13th 1924 he wrote Kei i wei wen-hsüeh ch'ing-nien ti kung-k'ai chuang (73), *An open letter to a young writer*.⁶⁵ In this he gives advice to a young literary man who believed his education would guarantee his living. Now he has nothing to live on and his mother and sister at home are in poverty, too. He has not the physical strength for manual work. Yü Ta-fu sees two alternatives: the army, for which they are recruiting, or theft. If he is killed outside Chinese territory, he will not be able to have it said that he gave his life for his country, but it will still be better than dying of hunger and cold. And if he takes to theft, the man he robs has robbed someone else before, for that is what society today is like. When he is caught and put in prison, at least he will have no worries about earning a living. And if he is condemned to death under martial law, at least he will be saved the trouble of committing suicide—and it is nonsense to go on living as things are. It is best to begin thieving among friends, in well-known places. The author suggests he begin with him, because he has not got anything worth taking except a few old books, but even those will bring him in something. It is difficult to imagine a sharper

⁶¹ Ta-fu ch'üan-chi 1, pp. 1–16.

⁶² Ibid.

⁶³ Ibid., Story quoted, p. 1.

⁶⁴ Ibid., p. 8.

⁶⁵ Yü Ta-fu hsüan-chi, pp. 217–222.

ridicule of Chinese society at that time. On the other hand, the story clearly reveals the author's helpless despair when faced with the objective reality of Chinese life. The individual cannot fight against such an array of factors. Although in his article *The class struggle in literature* Yü Ta-fu proclaims revolutionary slogans, in practical life he does not know how to apply them. He read Marxist literature and admires and appreciates it, but he has not yet seen how to bring their words to life and cannot even realize it.

A letter from Yü Ta-fu to Kuo Mo-jo is dated July 29th 1924: Kei Mo-jo (74), *To Mo-jo*.⁶⁶ He writes about his three-year old son, what things are like at home, and how he hates Peking and longs for Shanghai and work with the Pacific Ocean Society.

We see that not only the diary, but also the letter form occurs in Yü Ta-fu's work. We know that letter was one of the important literary forms used by the classical writers.

At the beginning of 1925 Yü Ta-fu left for Wu-han, where he lectured in literature at the Teachers Training Colledge.

Before leaving Peking, in January 1925, he wrote *Hai-ku mi-lien che ti tu-yü* (75), *Monologue of a collector of decaying bones*, an extremely witty satirical story.⁶⁷ At the very beginning the author writes: „Civilization may be a good thing and progress may be a good matter, but I, an error of Time, am always longing to go back to the days when there were no rulers and no governments, to the days when news was pressed on by knots in a cloth—to go back and live in those days.“⁶⁸ Two days before the hero of the story had been having a meal in an inn where there was a notice: „Do not discuss matters of state.“ He asked the waiter why it was there, remarking that there was nothing else to talk about but politics. The waiter answered, „Oh, that's very old.“ The hero comments that this admiration for „decaying bones“ has a great deal to be said for it.

The author gives a witty satire on the dangers of discussing politics in public places where every word was listened to. The intellectuals discussed politics all the time, and there was nothing but trouble for their pains. The longing to go back to the times when „news was passed on by knots in a cloth“ is an ironic comment on his mission as a writer.

Nan hsing tsa chi (76), *Various reminiscences of a journey to the south*, is dated April 20th 1925.⁶⁹ It is again a work in diary form, recalling a journey by boat from Shanghai to Canton.

Yü Ta-fu did not lecture in Wu-han long. Kuo Mo-jo states that Yü Ta-fu lost his job because he came to conflict with some of the older professors and with a natio-

⁶⁶ Ta-fu san-wen chi, pp. 135–144.

⁶⁷ Ibid., p. 165–168.

⁶⁸ Ibid., p. 165.

⁶⁹ Ibid., pp. 187–201.

nalist group in the college.⁷⁰ I have not been able to check up on conditions in the Wu-han College at that time, and so I cannot say to what group he was referring. Yü Ta-fu then spent some time at home perhaps because of his bad health, going to Shanghai once during that time.⁷¹ Then on March 18th he went to Canton with Kuo Mo-jo and Wang Tu-ch'ing (77) who had come back from Paris.

Shortly before leaving for Canton, on March 16th 1926, he wrote Yen-ying (78), *The shadow of smoke*.⁷² The hero lives in Shanghai and is always preparing to go home. He meets a friend who reminds him of the time they lived in X where bribed students had attacked him. This reminiscence is unpleasant and drives the hero finally to go home. There he meets his mother, and is embarrassed because he has brought no money home. His mother feels sorry for his wife and begs him never to let his son be a student.

I believe that we can assume this story is autobiographical, too. The home of the hero coincides with the town in which the author had home, and the attack by the bribed students which is mentioned may well have taken place when he was in Wu-han.

During this phase of his literary career Yü Ta-fu took a great step forward. He is no longer interested only in his own ego as he was in the first period. Perhaps this is due to his living again in his own country, he is not so isolated as he was in Japan. On the other hand, he still looks at what is going on around him largely from the narrow angle of his own fate and his own personal troubles. He feels lonely, he is not in good health, he has no money to keep his family on, and the sensitive Yü Ta-fu bore all this very hard. He looks at the life around him with a sensitive eye, seeing the economic troubles but not seeing the strength of the revolutionary surge; he is too strong an individualist to join in the struggle to get rid of what is troubling and moving him. It is likely that with his way of life he did not even come into contact with the growing revolutionary movement. His helplessness is most clearly seen in *An open letter to a young writer*.

Nevertheless, during this period Yü Ta-fu considerably enlarged his circle of interests. In two of the stories dating from this period—*Intoxicating spring night* and *A humble sacrifice*—he describes the working people of China, a factory girl and a ricksaw man. This is not only a new field for the author himself, it is a new field for the whole of Chinese literature at that time.

In his study *The class struggle in literature* we see that Yü Ta-fu has got to know Marxist literature and that he welcomes it; but he stands isolated. Thus he cannot see the full implications of the problems of his day, nor the relations of facts to each other. He could not find his place in the movement of the day and so he suffered

⁷⁰ Ko-ming ch'un-ch'iu, p. 276.

⁷¹ J. Schyns, op. cit., p. 114, says that Yü Ta-fu went back to his native town because of his son's death.

⁷² Ta-fu ch'üan-chi 1, pp. 1–26.

from helplessness and despair. He expressed these feelings and his sense of uselessness, in many of the stories of this period.

At this stage he began to rid himself at least to some degree of the decadent tendencies of his first phase. The picture he gives of life is more realistic and full-blooded, but there still remains a strongly sentimental and over-sensitive tendency.

Even the spirit of the stories has changed. The writer no longer humbles himself before suffering, he does not worship it but wants to get away from it. He wants to get rid of his own sufferings (e.g. *Reminiscences on returning home*) but he also wants to get rid of the suffering of others (e.g. *A humble sacrifice*, *An open letter to a young writer*). He feels that he is not strong enough himself, but he does not know how to join forces with those who will carry out his desires and with whom his own strength would be multiplied.

IV. The years 1926—1930

On March 18th 1926 Yü Ta-fu left for Canton, to lecture at the Sun Yat-sen University. Tseng Hua-p'eng and Fan Po-ch'ün write that he set out for the cradle of the revolution, Canton, with high hopes, but that the city disappointed him.⁷³ Yü Ta-fu did not know enough about revolutionary work which he saw primarily as individual tasks.

The story *I ko jen tsai t'u-shang*, *A lonely man on a journey*, is dated October 5th 1926 in a Shanghai hotel.⁷⁴ The whole is devoted to reminiscences of the author's dead son. In Canton he had received news of his son's illness and hurriedly prepared to leave for home. In Shanghai he received several telegrams from Peking which apparently were intended to speed his return. When his boat reached Tientsin it was the 10th day of the fifth month, according to the old calendar. Yü Ta-fu arrived home after his son had died.

There is a contradiction here with what J. Schyns says, he claims that Yü Ta-fu's son died in Fu-yang before Yü Ta-fu left for Canton.⁷⁵ This is evidently a mistake. I have no proof that Yü Ta-fu's family was living in Peking and that the writer was there in 1926; but here is in the *Diary of a sick man* (see below) the mention of money sent by the author to Peking, presumably to his wife or his family. On the other hand, there is much to support the theory that *A lonely man on a journey* is founded on personal experience, and that the author had spent some time in Peking with his wife and son. Much here that refers to the little son agrees with what is written in the letter to Kuo Mo-jo. In the story *A lonely man on a journey* we read, among other things, that the boy was five years old. In the letter *To Mo-jo*

⁷³ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 194.

⁷⁴ Yü Ta-fu *hsüan-chi*, pp. 191—197.

⁷⁵ J. Schyns, op. cit., p. 114.

(written in 1924) we read that the boy was three years old. In the story Yü Ta-fu says definitely that the boy was called Lung-erh.

If we can rely on the autobiographical character on Ping-chien jih-chi (80), *Diary of sick man*, Yü Ta-fu returned to Canton on October 20th 1926.⁷⁶ This would mean that *A lonely man on a journey* was written on the return journey from Peking to Canton, when Yü Ta-fu stopped in Shanghai. The *Diary of a sick man* was written from December 1st to 14th, 1926.

December 1st he notes in the diary as the first day of his unemployment. It is likely that this fact moved him or at least helped him to make up his mind to leave Canton. On December 14th he notes that next day he will board a boat for Shanghai and never return to the dirty, rotten Canton.

The Introduction to his Collected Works published in Shanghai in 1927 was finished in Shanghai.⁷⁷ He writes there: „I am a weakling, an ordinary slave, I cannot take out my dagger and kill bandits. I only hope that those who read the book through will rise from it to go enthusiastically—or at least, reading as far as this, will throw the book aside and not waste any more time reading gloomy chatter, and set out boldly to fight and to kill these soldiers, far worse than animals. For this I shall be more deeply and more sincerely grateful, than if they read every detail of my book with interest.“⁷⁸

Tseng Hua-p'eng and Fan Po-ch'ün notice the contradiction in the declaration that he is weak, while he wants his weak voice to rouse others.⁷⁹ Kuo Mo-jo writes that Yü Ta-fu was physically very weak, suffering from TB of the lungs, a great drinker and heavy smoker, leading irregular life.⁸⁰

He obviously could not fight himself, but he rouses others to fight and thus makes his contribution through his writings. We know that he was no coward and that in the war against the Japan he did not stand aside.

He goes on to say in the Introduction that he was given strength by his friend Wang Ying-hsia (81); the article *On Yü Ta-fu*⁸¹, Kuo Mo-jo⁸² and J. Schyns⁸³ refer to this love affair. Kuo Mo-jo says that Yü Ta-fu married her sometime about 1928. We do not know why and how he left his first wife, but Professor J. Průšek writes that Yü Ta-fu experienced in his own life the sad fate of a woman forced by the old social order into a marriage without love.⁸⁴ We can thus assume that his first marriage was one in accordance with the old Chinese conventions, and that as such it was

⁷⁶ Yü Ta-fu hsüan-chi, pp. 198—206.

⁷⁷ This refers to Ta-fu ch'üan-chi, I.

⁷⁸ Ibid., Foreword, p. 9.

⁷⁹ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 194.

⁸⁰ Li-shih jen-wu, p. 306.

⁸¹ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 195.

⁸² Li-shih jen-wu, p. 307.

⁸³ J. Schyns, op. cit., p. 114.

⁸⁴ J. Průšek, op. cit., p. 241—242.

in time dissolved, which is all the more understandable since their only son seems to have died.

Yü-Ta-fu's Jih-chi chiu-chung (82), *Nine diaries*, is given by Henri van Boven as from the year 1927. I have not had access to the work, but there are two references to it: Professor J. Průšek says that here the author speaks of his love with unusual openness⁸⁵; Shih Chiu (83) in his article Jih-chi chiu-chung, *Nine diaries*, says the same, adding that it is the story of Yü-Ta-fu's love for Wang Ying-hsia.⁸⁶

On January 10th 1927 Yü Ta-fu finished the story Kuo-ch'ü (84), *The past*.⁸⁷ This story, too, is written in the first person. In a strange town the hero is suddenly addressed by a woman whom he then recognizes as an old acquaintance, one of four sisters who had lived in the same boardinghouse. She tells him that she came to live here as the wife of a rich merchant who is now dead. The hero thinks of the sisters who used to be his neighbours. He had been in love with one of them, but she had teased and annoyed him, and not returned his love. Another, whom he had now met, he had not liked much then, but she seems to have been in love with him. They now meet frequently and the hero begins to love her, but she declares that it is too late; if he had loved her years ago she would have been saved much sufferings. The hero, too, realizes that they have missed their opportunity, and the two of them part, although both suffer.

Man Ying (85) in his article Tu-la Ta-fu ti Kuo-ch'ü chi hou (86), *After reading Ta-fu's Past*, says that this story made a profound impression on readers.⁸⁸

Li Chin-ming in his article *The three periods in the work of Ta-fu* states that the characterization of women in Yü Ta-fu's earlier works did not reach the level of that in *The past*.⁸⁹

It is true that in this story we find profound studies of women characters. The description of four women of different characters side by side gave the author full opportunity to use his talent as a writer as well as his psychological observation.

The article *On Yü Ta-fu* says that the fundamental note of the story is pessimistic.⁹⁰ But we must realize that this pessimism, or rather this melancholy, is very different from the hopelessness of the heroes of the early stories. The end does not leave the reader with the feeling that the hero is giving in to his sorrow; the hero of *The past* can bear his sorrow heroically and carry on with life.

On June 1st the „Creation Society“ published the first volume of Yü Ta-fu's collected works. The same year Yü Ta-fu left the Creation Society. Of the material

⁸⁵ Ibid., p. 242.

⁸⁶ Su Ya, op. cit., pp. 27—31.

⁸⁷ Yü Ta-fu hsüan-chi, pp. 85—105.

⁸⁸ Su Ya, op. cit., p. 104.

⁸⁹ Ibid., pp. 85—87.

⁹⁰ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 194.

to hand only the article *On Yü Ta-fu* deals with this in detail.⁹¹ According to this article Yü Ta-fu announced his leaving the Creation Society in the Shanghai press on October 15th. The article quotes two reasons: he did not get on well with some of the other members, and he did not agree with their view of the contemporary situation. A little later, in the article Tui-yü she-hui ti t'ai-tu (87), *Attitude towards society*, Yü Ta-fu wrote: „I broke off my connection with the „Creation Society“ because of a few articles published in Hung-shui (88), *Torrent*, such as Kuang-chou shih-ch'ing (89), *The Canton incident*, Tsai fang-hsiang chuan-huan ti t'u-chung (90), *Taking a new direction*, and others, which I was driven to write by my hatred of militarists and bureaucrats. Some of my good friends at that time, who were still in state service, thought I ought not to write articles like that, which attacked the state“.⁹²

The article does not say which people were concerned.

On December 11th 1926 he writes in his *Diary of a sick man*: „A letter came from Tzu-p'ing (Chang Tzu-p'ing) from Wu-han, somebody has disappointed them along with Kuo Mo-jo; it has weakened the Creation Society, but he simply hid himself (he means Chang Tzu-p'ing himself). Oh, people are not what they used to be, the young people of China have lost their conscience.“⁹³

In no circumstances can we agree with Henri van Boven when he says that Yü Ta-fu left the Creation Society because it had become too communist and because he could never forgive the members their lack of sincerity in revolutionary work.⁹⁴ The critic gives no proof for this statement, nor does he discuss it in greater detail. The available material would suggest the contrary views; Yü Ta-fu took a clear stand against militarists and bureaucrats and even after the failure of the revolution he was obviously against the Government. He could not have parted company with the Creation Society for the reasons suggested by van Boven when, as we shall see, only a year later he was co-operating with Lu Hsün.

In August 1928 he wrote the story Teng-o mai-tsang chih yeh (91), *The night of the moth's funeral*, in which he describes a man with unsound nerves.⁹⁵

October 1928 gave us another work, Ku-shih (92), *Legend*.⁹⁶ This is a sharp, witty satire on the attitude of the ruling clique towards the people and scholars. Yü Ta-fu returns to the Ch'in dynasty (221—207 B. C.) recalling the reign of terror and the burning of books, thus indirectly attacking the contemporary rulers of China.

Henri van Boven gives 1928 as the date of Mi-yang (93), *Stray Sheep*, a work

⁹¹ Ibid., p. 198.

⁹² I did not find this article in the material at my disposal; quoted from Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 198.

⁹³ Yü Ta-fu hsüan-chi, p. 206.

⁹⁴ H. van Boven, op. cit., p. 74.

⁹⁵ Ta-fu san-wen chi, pp. 213—221.

⁹⁶ Ibid., pp. 159—162.

which I did not have at my disposal; nor did I find any thorough information about it.⁹⁷

There is no documentary evidence of the way Yü Ta-fu's ideas developed after his parting with the Creation Society, but the article *On Yü Ta-fu*⁹⁸ and J. Schyns⁹⁹ both say that in 1928 he was co-editor with Lu Hsün of the periodical *Pen-liu* (94), *Torrent*. Schyns also says¹⁰⁰ that in 1929 he was editing *Ta-chung wen-i* (95), *Mass literature*, to promote proletarian literature.¹⁰¹

Tseng Hua-p'eng and Fan Po-ch'ün say that from 1929, together with Lu Hsün and others, Yü Ta-fu helped to found the democratic organisation *Min-ch'üan pao-chang tzu-yu ta t'ung-meng*, *Democratic league in defence of freedom*.¹⁰²

The same source says that in 1930 he joined the League of the left-wing writers and „stood with conviction in their ranks“.¹⁰³ Henri van Boven writes rather differently: „in 1930 he joined the League of left-wing writers somewhat against his will“.¹⁰⁴ The author neither enlarges on this contention nor offers proof. There is a similar note in the book of J. Schyns: „...Yü Ta-fu was too romantic and emotional for a revolutionary life, so he soon retired from that field...“¹⁰⁵ Both these statements are clearly untrue.

Yü Ta-fu was a close friend of Chiang Kuang-tz'u (96) of the League of the left-wing writers, who had just returned from the USSR. They often talked together about the Soviet Union and the proletarian revolution, and Yü Ta-fu often went with him to the Soviet Consulate.¹⁰⁶

He was very close to Lu Hsün, whom he had met in 1923, and thought very highly of the older writer. Lu Hsün had certain reservations with regard to the members of the Creation Society, but he seemed to except Yü Ta-fu from them. At a meeting of the League of the left-wing writers he declared that Yü Ta-fu's decadence was justifiable.¹⁰⁷ In his article *Tsen-mo hsieh* (97), *How to write*, he mentioned Yü Ta-fu, saying that they had often met and that it is his expression that Yü Ta-fu is „sound and moderate.“¹⁰⁸

All these things lead us to suppose that it was primarily his close contact with Lu Hsün that led Yü Ta-fu to break with the „Creation Society“. Yü Ta-fu probably

⁹⁷ H. van Boven, op. cit., p. 75.

⁹⁸ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 198.

⁹⁹ J. Schyns, op. cit., p. 114.

¹⁰⁰ H. van Boven, op. cit., p. 74, gives the year 1928.

¹⁰¹ J. Schyns, op. cit., p. 114.

¹⁰² Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 198.

¹⁰³ Ibid.

¹⁰⁴ H. van Boven, op. cit., p. 74.

¹⁰⁵ J. Schyns, op. cit., p. 114.

¹⁰⁶ Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 195.

¹⁰⁷ Ibid.

¹⁰⁸ Lu Hsün ch'üan-chi (98), *Complete works of Lu Hsün*, 1948, Vol. 4, pp. 34-35.

could not agree with their left-wing criticism, their radical programmes and slogans which were not backed by real literary work. We know that at this time there was a great deal of controversy between the members of the „Creation Society“ and Lu Hsün, who was attacked by Ch'eng Fang-wu in particular, in a very uncritical and wrong way.

In the material available I found no literary work by Yü Ta-fu for the years 1929 to 1930, nor any reference to the existence of any. Yü Ta-fu seems to have devoted his whole attention to the political events of the day; his political maturing at this period can be seen from the articles he wrote.¹⁰⁹

In Hsien ch'ing jih-chi (99), *Diary of vain feelings*, Yü Ta-fu wrote: „Our people are suffering under more than one oppressor; first there are the foreign militarists and capitalists, and then the new Chinese militarists and bureaucrats.“¹¹⁰

In Hsin sheng jih-chi (100), *Diary of the new life*, he talks about Chiang Kai-shek's murders.¹¹¹

In his *Diary of vain feelings* he notes the breaking of Chiang Kai-shek with the left wing. He writes of the „hated right wing“ that has set up government in Nanking: „It is halting our national Chinese revolution half way along the road.“ He writes that he will go and take part in the fight himself. On March 27th 1927 he wrote in his diary: „I marched in a demonstration with many workers.“¹¹²

In the political article mentioned above, *Taking a new direction*, he criticizes Chiang Kai-shek's intrigues and declares that the leaders of the revolution must never get far away from the masses, that they must always listen to the call of the masses. He stresses the role of the masses in the revolution very much.¹¹³

In a political article Kung-k'ai chuang to Jih-pen Shan-k'ou chün (101), *Open reply to a Japanese gentleman Yamaguchi*, he writes: „The future of China is proletarian, and Chinese literature is proletarian, too...“¹¹⁴

At this period he wrote a number of articles on the peasant problem.¹¹⁵ He saw Chinese agricultural relationships as feudal, a sphere where capitalism had not yet penetrated. He considered the uniting of the smaller with the middle peasants essential for the success of the revolution. He wanted writers to work among the peasants.

There is less literary writing in this period than in the previous one. Li Chin-ming declares, on the basis of *The past*, that this is the period of the author's maturity.¹¹⁶

¹⁰⁹ I did not have access to these articles; the facts are taken from Tseng Hua-p'eng, Fan Po-ch'ün, op. cit.

¹¹⁰ Quoted according to Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 194.

¹¹¹ Ibid., p. 195.

¹¹² Ibid.

¹¹³ See p. 196.

¹¹⁴ Quoted according to Tseng Hua-p'eng, Fan Po-ch'ün, op. cit., p. 196.

¹¹⁵ Ibid., p. 197.

¹¹⁶ Su Ya, op. cit., p. 87.

We can agree with him as far as mastery of the literary form is concerned, but he goes on to say that the contents of *The past* surpass the stories in *Cold ashes*, which contains roughly the works dealt with in our Chapter III. We do not consider *The past*, the title story of the collection, greater than the stories in the collection *Cold ashes* such as *Intoxicating spring night*, *A humble sacrifice*, and others.

In the political development of the author this is certainly the period of greatest maturity. In many cases he is already taking the Marxist point of view, and shows himself capable of profound analysis of events. His aims are entirely in harmony with those of the progressive revolutionary movement.

Yü Ta-fu is already well prepared, but he still lacks the practical contact with the people and the revolutionary forces growing up before his eyes. In his work, however, he welcomes and supports this movement.

V. *Translations and theoretical works*

In order to give a complete picture of Yü Ta-fu's work in the twenties of this century, we must mention his translations and his theoretical works.

The publishing house Pei hsin shu-tien (102) published in 1930 in Shanghai a volume of Yü Ta-fu's translations, Hsiao chia chih wu (103), *Five less-known writers*. It includes tales by five different writers, the Germans Friedrich Gerstäcker (1816 to 1872) and Rudolf Lindau (1829—1910), the Finn Juhani Aho (1861—1921), the American Mary E. Wilkins (1852—1930) and the Irishman Liam O'Flaherty (1897). There is a translation of one story by each of these writers, together with a brief note on the life and work of the author.

Liu Ta-chieh (104) and Huo Wen (105) in two articles bearing the same title *Five less-known writers* praise this volume of translations highly.¹¹⁷

At this time Yü Ta-fu was studying Rousseau; he wrote Lu-sao chuan (106), *The life of Rousseau*, and an article Lu-sao ti szu-hsiang ho t'a ti ch'uang-tso (107), *The work and ideas of Rousseau*, and he also translated from Rousseau.¹¹⁸

At the same time he was studying and translating Nietzsche.¹¹⁹

This survey of Yü Ta-fu's work is completed by two pamphlets containing his theoretical work.

The first, Hsi-chü lun (108), *On the theatre*, deals with the origin and development of the theatre, the question what the theatre is and its various types and forms.¹²⁰ He quotes many examples from world drama. It is more a collection of information about the theatre than an attempt to say anything new about it. It is however

¹¹⁷ Ibid., pp. 113—117 and 119—121.

¹¹⁸ Tseng Hua-p'eng. Fan Po-ch'ün, op. cit., p. 197.

¹¹⁹ Ibid.

¹²⁰ Published in Shanghai 1930.

¹²¹ Published in Shanghai 1930.

a proof that Yü Ta-fu knew a great deal about the theatre and had read a great deal about it.

The second pamphlet is Wen-hsüeh kai-shuo (109), *Essay on literature*.¹²¹ It is divided into six parts:

1. Sheng-huo yü i-shu (110), *Life and art*;
2. Wen-hsüeh tsai i-shu-shang so chan-ti wei-chi (111), *The place of literature in the arts*;
3. Wen-hsüeh ti ting-i (112), *The definition of literature*;
4. Wen-hsüeh ti nei-tsai ti ch'ing-hsiang (113), *The inner tendencies of literature*;
5. Wen-hsüeh tsai piao-hsien-shang ti ch'ing-hsiang (114), *The tendency of literature in creating images*;
6. Wen-hsüeh ti piao-hsien t'i-ts'ai chih fen-lei (115), *Classification of the forms of image in literature*.

In this work Yü Ta-fu shows the close connection between life and art and concludes: We all want our life on earth to go on, this is an undeniable inner desire. We not only want this existence to continue, we have an even stronger desire for it to be strong and permanent. Our existence in the world is the reaction to this demand which is the force of life. Biologists call it instinct. There is nothing in our behaviour which is not an attempt at self-expression and transformation of ourselves into a new, and more perfect personality. This in itself is something very near to art. Human life itself, as an expression of individual personality and the desire to create something new, is an art process in the broadest sense of the word art.

The question is then justified whether, since life itself is art, the existence of „art“ in the sense we use the word is at all necessary.

Every man wants to depict himself, but some people have no opportunity and others do not know how. The author compares the concept of the „artist“ to the idea of the Speaker, in the sense that the artist speaks for both these types of people. His duties are to satisfy his own desire for self-expression on the one hand and on the other hand to express the artistic impulses of other people. The reaction of the people to art is the justification of its universality. Life creates its own style. But if the externals of this style do not correspond to the inner demands of man, he may destroy this style and create a new one. The true artist should be the prophet of the new and the destroyer of fetishes.

In reality representation is never complete. Artists used various materials and thus the different forms of art arose. Yü Ta-fu quotes Plato's division of art into the arts of movement (poetry, song and music) and the fixed arts (painting and sculpture); he also quotes the classification of Hegel and von Hartmann. There are many other ways of classifying the arts as well.

Literature is an art of impressions; it is the special characteristic of the art of impressions that it affects the emotions of an individual.

Yü Ta-fu quotes the definition of literature given by different authors.

The inner tendency is the real style of a work of literature. Every age has its own spirit, every place its own mood; a literary work cannot be isolated from its environment.

Art is the representation of life, and literature is a part of it. The inner tendencies in literature are in close connection with life itself. The conditions of life in a previous age called for sentimentality in literature and created this style. Sentimental works often came into being when the society in which they were written was decaying. The writer quotes examples from classical Chinese literature to support this. In Chinese literature the sentimental works prevail, but there are many examples in foreign literatures, too, for example the Jeremiads. There are other conditions in which sentimental works come into being, but they are most frequent in times of a dying social system. The writer then deals with other literary tendencies, such as realism, neo-realism, etc. He considers realism the healthiest of all these.

He remarks that a great personality should not submit to the conditions around him.

The next part of the work discusses the individual literary trends. The external form of representation chosen by the writer he classifies as classical (Greek), romantic, naturalist and idealist.

There is a bibliography quoted which appears to be incomplete since it does not quote H. Taine, for example, although he is mentioned in the fourth part of the work.

These theoretical literary studies complete our picture of Yü Ta-fu as a very learned and profoundly thoughtful man, who has not only acquired knowledge but can reveal the inner relations of phenomena and draw conclusions from what he knows.

His views on literature and art are original and are not lacking in acute observation.

His conviction that art is closely bound up with life, his view that the content of a literary work cannot be isolated from the surroundings in which it was created, that art gives a representation of life and that the inner tendencies of literature are closely bound up with life itself, these ideas are of great value. His comparison of the artist to the Speaker, who speaks for himself and for those who have not the opportunity or the ability to speak for themselves, is very interesting. The desire for self-expression, which Yü Ta-fu considers an impulse towards art, he sees in all men, in man as such. He believes the true artist should be a destroyer of fetishes, the painter of what is new, helping to create a new style of living, as soon as the existing style ceases to be in harmony with the inner requirements of man.

For us the author's view that realism is the most healthy trend in literature is very interesting; he considers those literary works most valuable which have a realist basis, with a new mood of romanticism and a sentimental atmosphere.

In Yü Ta-fu's belief that in essence art is self-expression we can find a justification for the fact that most of his own work portrays his own emotional experiences and his own intellectual problems, apart from his continuation of the older tradition of Chinese literature.

1. 郁達夫 2. 黎錦明 3. 達夫的三時期 4. 郁達夫評傳 5. 黃雅
 6. 沉淪 7. 寒灰集 8. 過去集 9. 丁島 10. 郁達夫選集 11. 富陽
 12. 富春 13. 創造社 14. 郭沫若 15. 武昌大學 16. 民權保障自由大同
 盟 17. 曾華鵬, 范伯群 18. 郁達夫論 19. 人民文學 20. 歷史人物
 21. 論郁達夫 22. 屠格涅夫的“羅亭”問世以前 23. 屠格涅夫的歸終
 24. 閑書 25. 成仿吾 26. 田漢 27. 張資平 28. 革命春秋 29. 創
 造十年 30. 南遷 31. 銀灰色的死 32. 胃病 33. 風鈴 34. 懷鄉
 病者 35. 沉淪的評論 36. 錢杏邨 37. 現代中國文學作家 38. 龍兒
 39. 創造季刊 40. 茫茫夜 41. 努力週報 42. 胡適 43. 于質夫 44.
 吳達生 45. 達夫全集 46. 盧亞明 47. 郁達夫印象記 48. 歸航 49.
 達夫散文集 50. 采石磯 51. 黃仲則 52. 魯迅 53. 吶喊 54. 赫爾琴
 55. 文學上的階級鬥爭 56. 陳豹隱 57. 北國的微音 58. 歧路 59.
 還鄉記 60. 還鄉後記 61. 五六年來創作生活之回顧 62. 王瑤: 中國
 新文學史稿 63. 海上通信 64. 春風沉醉的晚上 65. 立秋之夜 66. 太
 子洋社 67. 現代評論 68. 零餘者 69. 薄奠 70. 秋柳 71. 小春天氣
 72. 十一月初三 73. 給一位文學青年的公開狀 74. 給沫若 75. 骸骨迷戀者
 的獨語 76. 南方雜記 77. 王獨清 78. 煙影 79. 一個人在途上 80.
 病間日記 81. 王英巖 82. 日記九種 83. 師歸 84. 過去 85. 殘影
 86. 讀了達夫的過去集後 87. 對於社會的態度 88. 洪水 89. 廣州事情
 90. 在方向轉換的途中 91. 燈蛾埋葬之夜 92. 故事 93. 迷羊 94. 奔流
 95. 大眾文藝 96. 蔣光慈 97. 怎麼寫 98. 魯迅全集 99. 閑情日記 100.
 新生日記 101. 公開狀答李山山君 102. 北新書店 103. 小島之夜 104.
 劉大杰 105. 活文 106. 蘆騷傳 107. 蘆騷的思想和他的創作 108. 戲劇論
 109. 文學概說 110. 生活與藝術 111. 文學在藝術上所佔的位置 112. 文學的定義
 113. 文學的內在傾向 114. 文學在表現上的傾向 115. 文學的表現體裁
 之分類

A COMMENT ON TWO STUDIES WRITTEN ON THE WORKS OF MAO TUN

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Yeh Tzu-ming (1), *Lun Mao Tun ssu-shih nien-ti wen-hsüeh tao-lu* (2) *On Mao Tun's 40 years literary road*, Shanghai wen-i ch'u-pan-she 1959, pp. 174, price 0.64 Y.

Sorokin, V. F., *Tvorcheskiy put' Mao Dun'a, Mao Tun's creative road*, Izdatel'stvo vostochnoy literatury, Moscow 1962, pp. 182, price 0.60 rubles.

Mao Tun (3) (born 1896) is a very well-known figure in contemporary Chinese literature and culture. As a writer he had been well-known for a long time all over the cultured world. Besides Lu Hsün (4) (1881—1936), the founder of modern Chinese literature, he is so far the most successful Chinese writer of prose and very distinguished literary critic, who certainly deserves the attention now being paid to him by Chinese and foreign scholars. We present here for interested readers two of the most noteworthy studies written on his works.

The aim of this article is to introduce the two above mentioned books, to some extent to evaluate them, and to add some relevant material.

*

Yeh Tzu-ming's book (further referred to only as Yeh) is the first relatively large monograph on Mao Tun.¹ It evaluates Mao Tun's life and work up to the year 1949. It begins with a biography of Mao Tun and determinates the periods of his works (pp. 1—7), continues with a short outline of his childhood and student days (pp. 8—13). The actual evaluation of Mao Tun's contribution to the history of

¹ In 1953 a book by Wu Pen-hsing (5) called *Mao Tun hsiao-shuo chiang-hua* (6) *Discussions on Mao Tun's Prose*, pp. 198 was published in Shanghai. Its author is too much in the captivity of vulgar-sociological ideas on literature. A second writing on Mao Tun is the booklet by Shao Po-chou (7) called *Mao Tun-ti wen-hsüeh tao-lu* (8) „*The Literary Way of Mao Tun*“, Wu-han 1959, pp. 96. It was published about 6 months before the publication of Yeh Tzu-ming's book and is a valuable publication for all who want to get briefly acquainted with Mao Tun's life and work.

modern Chinese literature begins in the third chapter, which deals with the years 1916—1926.

Here we should emphasize that one of the greatest assets of Yeh's efforts is to unearth from the beginning Mao Tun's popular-scientific and literary-critical works, which until Yeh brought notice to them were practically unknown. In one of the magazines published by Commercial Press in Shanghai, in Hsüeh-sheng tsa-chih (9) The Students Magazine, he found more than twenty articles written between the years 1917—1920 (p. 18), which has been translated or written by Mao Tun. This assertion, however, is not correct. Actually the number was more than thirty and Yeh failed to notice that the pseudonym P'ei Wei (10),² which appeared not only in that magazine, but also in other magazines of that and the following period, was the pseudonym of Mao Tun. The work of Yeh certainly deserves praise, but more thorough search in other magazines and literary supplements would have brought to notice a larger amount of other interesting material and with it also the basis for more profound research work. For instance, in the magazine Tung-fang tsa-chih (11) „The Eastern Miscellany“ there are 18 articles written and translated in the year 1920 which, no doubt, came from the pen of Mao Tun, and out of this number 13 are of a literary character.³

The analysis of Mao Tun's literary-critical profile in the period from 1919—1925 is being done relatively thoroughly by the author. He proceeds from the conviction that Mao Tun was at that time a revolutionary democrat and was influenced by the theory of evolution (p. 18). Basically, he estimates Mao Tun as a literary critic and theoretician in the following way: „He followed the revolutionary spirit of the May Fourth Movement literature, he was against feudal literature, he emphasized that literature should reflect the society and serve life's realistic principles. These ideas are frequently expressed in the words: literature for life. Quite clearly two conceptions stand out in these ideas: one which echoes the idea that literature has an active social mission, which should ‚stimulate the hearts‘ and ‚awaken the masses

² For a more thorough study of Mao Tun's pseudonyms, cf. M. Gálik, The Names and Pseudonyms Used by Mao Tun, Archiv orientální, 31, 1, 1963, pp. 80—108.

³ At that time Mao Tun still published in the magazine Fu-nü tsa-chih (12) „The Ladies Journal“, Chieh-fang yü kai-tsao (13) „Emancipation and Reconstruction“ and Hsüeh-teng (14) „Lantern of Study“, a supplement of the newspaper Shih-shih hsin-pao (15), Shanghai.

In the Tung-fang tsa-chih there are two important, so far unknown articles: P'ei Wei, *Hsien-tsai wen-hsüeh chia-ti tse-jen shih shen-mo ni?* (16) „What are the Duties of Contemporary Literary Workers?“ 17, 1, January 10, 1920, pp. 94—96. Yen-ping (17) (Mao Tun's courtesy name), *'Ou-mei hsin wen-hsüeh tsui-chin-chih ch'ü-shih' shu-hou* (18) „After Reading the Article 'The Newest Trends in European and American Literature'“, 17, 18, September 25, 1920, pp. 76—78. This is a polemic on an article by the author Hu Hsien-su (19), *'Ou-mei hsin wen-hsüeh tsui-chin-chih ch'ü-shih* (20) „The Newest Trends in European and American Literature“, Chieh-fang yü kai-tsao, 2, 15, August 31, 1920, pp. ? Hu Hsien-su was one of the most important adversaries of the new Chinese literature and a significant contributor to the magazine Hsüeh-heng (21) „Critical Review“, which proclaimed a return to the old (fu-ku) (22).

of the nation'. This conception was directed against the contemporary feudal and bourgeois literary schools, such as the School of Mandarin Ducks and Butterflies (yüan-yang hu-tieh p'ai) (23), against sentimentalism, aestheticism, decadence, which considered literature an instrument for individual satisfaction and delight, an instrument, which gives an opportunity to express decadent sentiments. The second conception is one of burning love and sympathy with the 'humiliated and insulted'. The fundamental spirit underlying this conception is expressed in the resistance against the oppressors, in the struggle against contempt, in the emphasis put on the idea of democracy and equality, that means, the embodiment of very strong humanistic features." (pp. 27-28).

He rightly points out the influence of Taine's teachings and Zola's theoretical works on literary-theoretical opinions of Mao Tun (pp. 35-38), unfortunately, however, it is necessary to point out that he does not hardly analyse Mao Tun's views at all, especially in relation to naturalism. He regards him as a literary realist not only in the field of his earlier works as a literary critic and theoretician, but also in his creations of the later periods (p. 38).

The beginning of Mao Tun's Marxist literary thinking is considered to be the year 1925—the period of the May 30th Movement. At that time Mao Tun wrote an article *Lun wu-ch'an chieh-chi i-shu* (24) *On Proletarian Art*.⁴ On the basis of this article Yeh pointed out that Mao Tun had started to use a Marxist class attitude to literature, pointing to the content, form and scope of proletarian literature and criticized some shortcomings of young Soviet proletarian literature (p. 40). At that time Mao Tun already stood on the side of proletarian literature and explained in a Marxist way some basic problems of literature, but this platform was not firm enough as was clearly seen soon afterwards, after the defeat of the revolution in 1927 (p. 41).

We take the opportunity to add that Mao Tun started to study the principles of literature from the Marxist point of view much earlier and he also adopted them earlier. The article on the poet V. Mayakovsky written in the middle of the year 1924⁵ is written in a true Marxist spirit. In the same year he also wrote an extensive study *Ou-chou ta-chan yü wen-hsüeh* (28) *World War and Literature* which was also written from a Marxist point of view.⁶

In the study *Lun wu-ch'an chieh-chi i-shu*, which Yeh analyses, though not thoroughly enough, Mao Tun examines proletarian art, but he does not disclose his

⁴ See Wen-hsüeh chou-pao (25) „Literary Weekly“, 172, May 10, 1925, pp. 2-4; 173, May 17, 1925, pp. 9-12; 175, May 31, 1925, pp. 27-29; 196, October 4, 1925, pp. 200-202.

⁵ Hsüan Chu (26) (Mao Tun's pseudonym), *Su-wei-ai O-lo-ssu ko-ming shih-jen* (27) „*Revolutionary Poet of Soviet Russia*“, Wen-hsüeh chou-pao, 130, July 14, 1924, p. 1.

⁶ See Hsiao-shuo yüeh-pao (29) „The Short Story Magazine“ 15, 8, August 10, 1924, pp. 1-18. This study was also published as a book, see Shen Yen-ping (30) (Mao Tun's family and courtesy name), *Ou-chou ta-chan yü wen-hsüeh*, Shanghai 1920, pp. 125.

own attitude and the relation modern writers should have to it. He does this in the article *Wen-hsüeh-cho-ti hsin shih-ming* (31) *The New Mission of Writers*. As this article has not yet been quoted by anybody and is anyway difficult to get hold of, we take the liberty of translating one part of it: „The mission of writers today is to express the revolutionary spirit of the oppressed nations and classes, to express it in great and profound literary works, in order to make them accessible to the people, to make them penetrate into the minds of the oppressed peoples, to keep strong the movement for their liberation and to evoke a still stronger, still more enthusiastic revolutionary movement.

But that is not enough! Writers must learn to distinguish the most varied mental types among oppressed proletarians, the immense creative and organizing strength of the proletariat; then they must give it an exact and magnificent expression and proclaim proletarian culture with all their power. Only this kind of literature can claim to give a true picture of the life of humanity today, and, furthermore, show humanity the way to a better future. That is the new mission of writers.“⁷

This article is valuable also from another point of view. In it Mao Tun deals with questions of literature as the true expression of human life, literature as a mirror which at the beginning of the twenties caught his imagination. But he goes further than that when saying that literature should not be only a mirror, as stated by him in the lecture *Wen-hsüeh yü jen-sheng* (32) *Literature and Human Life*,⁸ but a compass showing the way, the way ahead, the way to a better future. He also mentions that literature should never desert the contemporary mankind and describe an ideal world which is usually false—as was the case with Plato, T. More or T'ao Yüan-ming (34),⁹ but adhere to reality describing the ills and needs of his contemporaries because only on the basis of a thorough analysis of contemporary reality can the future development be destined. Otherwise such ideals are only medicaments which do not heal.

The presenting of foreign literature to the public (chieh-shao) (36) is regarded by Yeh as a second, very important component part of Mao Tun's work up to the year 1927. He is correct in segregating this work from the rest of his literary-critical activity, because to a great extent he was really only acquainting Chinese readers with the literature of foreign countries, primarily with those of the so-called small and oppressed nations of central and northern Europe. This work was not concerned with fundamental, original literary criticism of foreign authors.

⁷ Wen-hsüeh chou-pao, 192, September 13, 1925, p. 151.

⁸ See *Chung-kuo hsien-tai wen-hsüeh-shih ts'an-k'ao tzuliao* (33) „*Materials for the Study of the History of Modern Chinese Literature*“, vol. I, Peking 1959, pp. 134—138.

⁹ Plato (427—347 B. C.) in his publication *Republic* described an ideal state. Sir Thomas More (1478—1535) described the picture of the ideal society in his book *Utopia*. The great Chinese poet T'ao Yüan-ming (365—427) described his ideal society without political and economic oppression in an essay called *T'ao-hua-yüan-chi* (35) „*Peach Flower Paradise*“.

During this same period Mao Tun translated many works. The active circle of his interest as a translator was far greater than described by Yeh on page 46. It included Hungarian, Bulgarian, Czech, Polish, Russian, Norwegian, Swedish, Dutch, Finnish, French, English, Irish, American, Spanish, Indian, Armenian, Yiddish and perhaps even others. In this field he wanted to do as much as possible to acquaint the Chinese readers, within the framework of the given possibilities, with all the best works available and with those which could be made available.

In the next chapter dealing with the years 1927—1929 Yeh wrote about Mao Tun's trilogy *Shih* (37) *The Eclipse*, the novel *Hung* (38) *The Rainbow* and stories written by him in that period. According to Yeh, Mao Tun's works of those years are „in the main critical-realistic“ (p. 79). *Shih* is the first trilogy of modern Chinese literature in which Mao Tun reveals for the first time his artistic talent and individual style (unfortunately, Yeh does not concretely show it), he likes to choose for his works events of great contemporary and social significance, he is a real contemporary and social writer and devotes himself to detailed psychological descriptions (pp. 55 to 56). It would exceed the framework of these comments if we would acquaint our readers with a detailed content of this chapter, which is probably the most valuable part of the whole monograph. This fact was noticed by Mao Tun himself, who when reading the manuscript made some footnotes on it. This chapter (but changed) was also published in a magazine.¹⁰ Its great deficiency is in the fact (which is a shortcoming of the whole work) that it devotes little attention to the artistic side of the analysed works.

The following, fifth chapter evaluates two years of Mao Tun's creative work (1930—1931). Yeh rates these years as a transitional period „from critical to socialist realism“ (p. 82).

The greatest part of the monograph, the sixth chapter, is devoted to the years 1932—1937. This period he calls „the golden period of Mao Tun's creative activity“ (p. 88).

As stated above Yeh calls the period of the years 1927—1929 a period of critical realism and the years 1930—1931 a transitional period. Now, when one would quite naturally expect that this period would be characterised primarily as socialist-realistic, one learns that „a new period of his work has started“, „from the road of critical realism he arrived to that of socialist realism“ (both on p. 89). In this case one feels some uncertainty in Yeh's formulations. He evaluates Mao Tun's best novel *Tzu-yeh* (41) *Midnight* from this point of view in the following way: „As it was written in a society ruled by the Kuomintang, at a time when the theory and practice of socialist realism had still not reached a sufficiently high level, and also

¹⁰ Yeh Tzu-ming, *Ts'ung 'Shih' tao 'Hung' — Lun Mao Tun tzu Ta ko-ming tao Tso-lien ch'ien-hsi-ti ch'uang-tso* (39) „From 'The Eclipse' to 'The Rainbow' — On Mao Tun's Works from the Great Revolution up to the Eve of the Left League“, Chiao-hsüeh yü yen-chiu hui-k'an (40) „Review for Teaching and Research“, 2, 1958, pp. 25—32.

because the writer made some mistakes in his work, for instance, he did not sufficiently understand or notice the working-class and the revolutionaries, his work cannot be regarded as a mature creation of socialist realism“ (p. 131).

The other works of Mao Tun of this or the following period are not described in this way, the reader, therefore, does not know whether he stayed on the „socialist-realistic road“ or not, whether he went on writing „immature“ socialist-realistic works or not. We would only like to turn to the author of the monograph with one small question: Which Chinese mature socialist-realistic work is more valuable than the „immature“ *Tzu-yeh*?

It should be emphasized that Yeh paid very detailed attention to the essays etc. from which *Tzu-yeh* and the other significant works of that period came to life.

In the last chapter but one which deals with Mao Tun's activity during the war against the Japanese (1937—1945), the author pays detailed attention to the novel *Fu-shih* (42) *Decay*, the play *Ch'ing-ming ch'ien-hou* (43) *Before and After Ch'ing-ming Festival* and the collection of travel stories *Chien-wen tsa-chi* (44) *Travel Notes*. *Fu-shih* stands in the forefront of his interest and he regards it „a representative work of that period“ (p. 144) and „another excellent creation after *Tzu-yeh*“ (p. 143). On page 148 though he writes that *Fu-shih* is the most significant work of the whole modern Chinese literature, which reveals the Kuomintang terror during the war against Japan, but he does not devote a single sentence to the artistic value of the novel, though he analyses it on four whole pages (pp. 144—148). Analysing Mao Tun's trilogy and his works from the years 1932—1937, the author was greatly helped by Mao Tun's travels, memoirs and essays and thus made it possible for himself and the readers to understand the analysed works. One would have expected him to do the same in the case of *Fu-shih*, but unfortunately this did not turn out to be the case, although there are essays and travels which would bring *Fu-shih* nearer to the public. Indeed, these essays and books of travels have never been published as books but they can be found in the Hongkong evening paper *Hua-shang-pao* (45) „Chinese Commercial News“ of the year 1941, which is accessible in China.¹¹

¹¹ There is, for instance, Mao Tun's travel sketch *Lü-tien hsiao-ching* (46) „Small Scene from the Lodging-house“ of May 15—16, 1941. It was published as a component part of Mao Tun's notes from his travels over China in instalments in this evening paper under the title *Ju-shih wo chien wo wen* (47) „That is How I Saw and Heard it“, which was later published under the impersonal title *Chien-wen tsa-chi*. This is one of the two chapters and one interchapter which was forbidden to be printed in the book by the Kuomintang censorship. It is based on a narration of a secret agent on crimes committed against women under the pretext of the fight against communism. It forms one of the foundation stones of the *Decay*, which Mao Tun started to write at that time. The first number of the magazine *Ta-chung sheng-huo* (48) „Life of the Masses“, a Hongkong fortnightly, with the first pages of *Decay* was published on May 7, 1941.

In the essay *Ch'ing-nien-ti t'ung-k'u* (49) „Bitter Sufferings of Youths“ of June 30, 1941, he writes about university students who were forced to be pro-Kuomintang spies or else they were tortured. In the essay *Shih-shih shih tsui wu-ch'ing-ti* (50) „Facts are Merciless“ of June 27, 1941 he condemns government policy.

Fu-shih is a work which certainly deserved a better fate. In Hongkong, where it was published in installments in the magazine *Ta-chung sheng-huo* it had a great reception and later progressive circles published it in Shanghai, at the time occupied by the Japanese. From 1941 to 1945 it could not be published, because of the Kuomintang censorship. Finally after the defeat of the Japanese, readers could get hold of it, the printed copies were soon confiscated and the book was prohibited. But even so it was one of the most powerful weapons in the struggle against the secret agents, organised similarly as the Gestapo, against those who formed the greatest obstacle in China's efforts for real progress. After 1949 *Fu-shih*, no doubt, lost its topical political significance, but not its artistic value. In spite of this, however, it was not published again until 1954 and as we know no study has been published about it since China's liberation. This is connected with the incorrect comprehension of *Fu-shih* which Mao Tun himself (unfortunately, only he)¹² by right complains about. *Fu-shih* has so far only been translated into the Japanese and Czech languages.¹³ At the same time it is a novel which from the artistic and ideological point of view deserved then and still deserves great attention.

The last two parts, i. e. the one just discussed above and that which analyses the activity of Mao Tun after 1945, have been written less thoroughly than the previous chapters. They lack an essential foundation and also contain more factual mistakes. Thus, for instance, the author's narration on p. 142 seems to suggest that the unfinished novel *Tuan-lien* (53) *Hardening in the Battle* is from the anti-Japanese period, although actually it was written in 1948.¹⁴ On page 162 he writes that „since 1945, after the publication of *Ch'ing-ming ch'ien-hou*, Mao Tun has not written any belletristic work.“ In fact, however, besides *Tuan-lien* he wrote another three stories: *I-ko kou ch'eng-tu-ti jen* (55) *A Man of Calibre*,¹⁵ *Ching-chih* (57) *The Awakening of the Insects*¹⁶ and *Ch'un-t'ien* (59) *Spring*.¹⁷ On p. 171 he asserts that Mao Tun made some notes for publishing the book of the philosopher Mo-tzu (60) (circa 468—382 B. C.). This is wrong. Except his comments on the books *Ch'u-tzu*¹⁸

¹² See *Hou-chi* (51) „Epilogue“, *Mao Tun wen-chi* „Collected Works of Mao Tun“, vol. 5, Peking 1958, p. 307.

¹³ Translated by Professor Ono Shinobu (52), Tokyo 1954, into Japanese and under the romantic title *V tygři tlamě* „In the Tiger's Jaws“ into Czech by Jaromír Vochala, Prague 1959.

¹⁴ Published in instalments in the newspaper *Wen-hui-pao* (54) from September to December 1948. The last, i. e. 109th instalment, was published on December 29, 1948.

¹⁵ Not dated, but published for the first time in the journal *Wen-i fu-hsing* (56) „Literary Renaissance“, 1, 1, January 10, 1946, pp. 40—50.

¹⁶ Dated June 13, 1948. It was published in the Hongkong monthly *Hsiao-shuo* (58) „Prose“, 1, 1, July 1, 1948, pp. 3—9.

¹⁷ Dated December 12, 1948. Published in the same magazine, 2, 1, January 1, 1949, pp. 21—27.

¹⁸ Published in the edition *Hsüeh-sheng kuo-hsüeh ts'ung-shu* (62) „Students' Chinese Classics Series“, Shanghai 1928, pp. 97.

(61), *Chuang-tzu*¹⁹ (63) and *Huai-nan-tzu*²⁰ (64) Mao Tun made no comments to any other book of Chinese classical literature.

On the whole, we should evaluate the book of Yeh positively. Its deficiencies can be explained by the unsufficient experience of the author and the speed in which it was written. Originally, it was the author's diploma work at the Faculty of Sinology at the Nanking University.

Sorokin's book is not his debut. A few years ago he wrote a book on Lu Hsün's ideological development.²¹

It should be noted that from a material point of view he is dependent on Yeh, because in the USSR he could not find sufficient material, but his method of research is different from that of Yeh. Yeh is more an analyst of social and political conditions reflecting themselves in Mao Tun's works, Sorokin, on the other hand, is a much finer analyst of the souls of Mao Tun's heroes. Yeh presents more historical data, Sorokin more of the literary context, and his critical register is wider, as a critic he is more experienced and as a stylist much better.

The readers will certainly be captivated by the chapter called Literature in the Name of Life. Sorokin examines most profoundly Mao Tun's well-known article *Tzu-jan-chu-i yü Chung-kuo hsien-tai hsiao-shuo* (65) *Naturalism and Contemporary Chinese prose*²² and especially the problem of naturalism (pp. 28—32). Research workers dealing with modern Chinese literature will certainly know that for a certain period Mao Tun regarded naturalism as a medicine for modern Chinese literature and, therefore, propagated it. According to Sorokin: „... Mao Tun stands apart in some points from naturalistic theory, as we know it from the theoretical works of Zola. He rejects its biological foundations (the theory of heredity), does not accept the idea of determinism“ (p. 30). „In propagating some theoretical teachings of naturalism Mao Tun tried primarily to utilise the statements and creative practice of western writers, greatly esteemed by the young Chinese intelligentsia, in the fight against the influence of old literature“ (pp. 30—31). „Many statements of Mao Tun relating to this period make it possible to conclude that the author still had not managed to distinguish between realism (critical) and naturalism... Thus, while using the term naturalism, the author often really spoke about the realistic creative method. This really determines the value of Mao Tun's earlier essays on the history of realism in modern Chinese literature“ (p. 31).

In other words, Sorokin really wanted to point out that actually Mao Tun wished to propagate realism when speaking about naturalism.

Let us examine this problem on the basis of an article so far unknown to those

¹⁹ Published in the same edition, Shanghai 1926, pp. 108.

²⁰ Published in the same edition, Shanghai 1926, pp. 203.

²¹ See Sorokin, V. F., *Formirovaniye mirovozzreniya Lu Sin'a* „The Formation of Lu Hsün's World View“, Moscow 1958, pp. 194.

²² See Hsiao-shuo yüeh-pao, 13, 7, July 10, 1922, pp. 1—12.

who study the work of Mao Tun — *Tsao-la chu-i-ti wei-hsien-hsing* (66) *The Danger of Zolaism* which Mao Tun wrote under the pseudonym Lang Sun²³ (67). We shall only translate some parts of it.

The articles begins thus: „If somebody hears the word ‚naturalism‘, he mechanically thinks of ‚Zolaism‘, and afterwards willy-nilly he gets the idea ‚to see only the beast in man‘ and in the end he feels nauseated by naturalism.“

Further he writes: „Some critics gave naturalism the label of ‚Zolaism‘, they gave Zola’s naturalistic works the name of works of the ‚naturalistic school‘, but the naturalistic works of the writers of other countries they called works of the ‚realistic school‘.“

Still further he writes: „... the French writers Flaubert and Zola, the German writer Hauptmann, the Spanish writer Zamacois, the Italian writer Serao, the Russian writer Chekhov, the English writer Galsworthy, the American writer Dreiser can all be clamped together into one large group which can be given the label either ‚naturalistic‘ or ‚realistic‘ but not both.“

The most important are the following two paragraphs: „The most substantial feature of Zolaism is its scientific descriptive method. Write what you see, do not try to cover up the ugly things by a beautiful cloak. This is what they (the naturalists, M. G.) have most in common. I think there is nothing wrong in this fact, it has a long term value. Whatever new trends will come to life in the world of art of the future, this principle will always be respected. Though the future is inexhaustible, though there are many bright spots and roads leading to a bright future, this principle is at least the alphabet of every writer, two legs which will take him further ahead.

When saying that we should take notice of naturalism we mean that we should pay attention to its scientific descriptive method. We are not interested in the prejudices of Zola and their character! (If we would admire Zola’s view of life and make his works accesible to the people with the accompaniment of vigorous pathos, that would, of course, be a different matter altogether.) As regards the prejudices of Zola in ‚observing only the beast in man‘, it seems that this was a consequence of the specific surrounding in which he lived; if our basic ideas will differ, if we will not forcefully imitate him, we shall certainly not see in everything the expressions of the beastliness.“

The above stated words clearly show that Mao Tun regarded (at least in the period when proclaiming naturalism) realism and naturalism as one and the same thing; otherwise he would not have put all those writers whom we distinguish today as naturalists on the one hand and realists (or critical realists) on the other under the same roof.

It is also quite clear that in the so-called naturalism he valued most „the scientific descriptive method“ which in some places he calls „objective description“ and

²³ See Wen-hsüeh hsün-k’an (68) „Literary Decade“, 50, September 21, 1922, p. 2.

combines it with „objective observation“. The word „most“ is really exaggerated, he did not really take anything else from naturalism. It is true, the epithet „scientific“ or „objective“ is in this case deceiving, practically impossible, in these words „write what you see“ is an insufficient comprehension of the importance of typicalness, choice, the subject of the author, one can sense in it the spirit of Taine's and Zola's positivism, of that *esprit scientifique* which was the pride of the second half of the last century and out-of-date in the literary sphere already during the twenties of this century. This, of course, was not important for that time, Mao Tun wanted to avert the attention of Chinese writers from the old way of creation, and this he tried to do.

It is very important to note that Mao Tun does not admire Zola's view of life (a word used in China for world view during the May Fourth Movement and afterwards). This is not surprising, for Mao Tun was at that time well acquainted with Marxism. Already in 1920 he became a member of a Marxist group in Shanghai (not in 1919, as Sorokin states, because at that time no Marxist group existed in Shanghai).²⁴ From the words in the brackets of the quoted passage one can well sense that Mao Tun did not recommend the translation of Zola's works in great measure. He himself did not translate any of Zola's works and did not write anything on his belletristic works. There is one exception only, one literary-historical work.²⁵

The problem of the so-called naturalism in Mao Tun's literary-critical and theoretical development is not as significant as it is interesting. It captivated him only for a few months in 1922, he roused with it the literary-critical and theoretical discussion among the contributors of the magazine *Hsiao-shuo yüeh-pao* and there was no further discussion of it any more. Only a few years later, when defending himself against critics who regarded him as a naturalist without any conclusive reasons, only because at one time he himself proclaimed naturalism and they found some slight naturalistic scenes in his works, in one article he mentioned Zola and stated that he liked him, as he did Tolstoy. These words should not be taken seriously.²⁶

²⁴ Cf. Ho Kan-chih, *A History of the Modern Chinese Revolution*, Peking 1959, p. 33.

²⁵ Fang Pi (69) (Mao Tun's pseudonym), *Hsi-yang wen-hsüeh t'ung-lun* (70) „Brief Outline of Western Literature“, Shanghai 1930, pp. 178—193.

In this book Mao Tun expresses his laudatory views on Zola's work of art, but does not admire naturalism. He writes: „Naturalism of the second half of the 19th century is also (just as realism, M. G.) of a cool, analytic and critical nature. The naturalistic works at our disposal, however, mostly look for expressions of bestiality in life, their attitude is passive and pessimistic. This is very different from the realism spoken about above“ (p. 22). Or: „Literature must express reality, there is no doubt about that. The naturalists, however, mastered only the imminent reality, art for them was only a photographic camera and they forgot that the mission of literature is to create life. This is, no doubt, a great deficiency. Literature is not a mirror but a chisel. It cannot limit itself to reflection only, it must also create“ (p. 322).

²⁶ Mao Tun, *Ts'ung Ku-ling tao Tung-ching* (71) „From Ku-ling to Tokyo“, *Hsiao-shuo yüeh-pao*, 19, 10, October 10, 1928, pp. 1138—1146.

This is the quotation: „I like Zola, but I like Tolstoy, too. At one time I very warmly pro-

It seems they rather suited him as a replication taken from one of Havelock Ellis'²⁷ studies which he wished to use. Mao Tun had also written in other articles about his literary likings, not mentioning Zola, however.

This he primarily did in the article *Ai tu-ti shu* (74) *The Books I Like Most*, *Mao Tun wen-chi*, vol. 10, pp. 142-147, in which he wrote that he liked historical works and those describing unreal things (huan-hsiang) (75). He mentions the books he liked most: *Shui-hu-chuan* (76) *All Men Are Brothers* by the writer Shih Nai-an (77) (1296—1370), *San-kuoyen-i* (78) *Romance of the Three Kingdoms* by the writer Lo Kuan-chung (79) (14th century), *Hsi-yu-chi* (80) *Pilgrimage to the West* by the writer Wu Ch'eng-en (81) (1500?—1582?) and some stories from *Liao-chai chih-i* (82) *Strange Tales of Liao-chai* by P'u Sung-ling (83) (1640-1715). From the older European literature he mentioned A. Dumas' *Three Musketeers* (and their continuation), L. Tolstoy's *War and Peace* and *Anna Karenina*. As regards books with contemporary themes he mentioned the ch'ien-tse hsiao-shuo (84) „novels of exposure“ from the end of the Manchu period and all works of modern Chinese literature. From foreign literature he mentioned M. Gorky and other well-known Soviet authors, further H. Barbusse, B. Shaw, T. Dreiser and admitted that at one time „he was enthralled by R. Rolland“.²⁸ He stated that he learned most from Gorky and Lu Hsün: „Gorky's works enlarged my capabilities of observing reality. (This, together with the works of Lu Hsün, contributed most to my development). His individual manner of arranging the subjects helped me to find a new sphere, besides that gained from the methods I had learned from older works“ (p. 147).

In the article *T'an wo-ti yen-chiu* (86) *On My Search* in the book *Yin-hsiang, kan-hsiang, hui-i* (87) *Impressions, Feelings and Reflections*, Shanghai 1936, pp. 79—85, Mao Tun mentions among his favourite novels besides *Shui-hu-chuan* also the book *Ju-lin wai-shih* (88) *The Scholars* by the writer Wu Ching-tzu (89) (1701—1754). He recommends young beginner-writers to read primarily *Ju-lin wai-shih*, because it can give them more than any other classical Chinese novel and

pagated naturalism of Zola (though without any success, and added to that, I was confronted with misunderstanding and opposition). When I tried, however, to write novels, I got nearer to Tolstoy.“

²⁷ Havelock Ellis, *Zola, Affirmations*, pp. 131—157, 1898. We know this study only from Chou Tso-jen (72), *I-shu yü sheng-huo* (73) „*Art and Life*“, Shanghai, no year given, pp. 468. For the mentioned part see pp. 307—310.

²⁸ We would like to mention that this was at the beginning of the twenties. In one of the *Tsa-kan* (85) „*Various Feelings*“ published in *Wen-hsüeh hsün-k'an*, 76, June 12, 1923, p. 4, Mao Tun wrote the following: „I believe that literature should criticize life, show the deficiencies in human life and, moreover, intimate the ideas capable of removing these deficiencies. Therefore, besides all the other excellent works I like to read *Jean Christophe*, because its author teaches in it how to avoid being pessimistic even when we are in a bad situation, not to lose real courage even when faced with thousands of difficulties...“

At the beginning of the twenties, or one or two years earlier, Mao Tun started to occupy himself intensively with B. Shaw, L. Tolstoy and H. Barbusse.

in the second place the novel *Hai shang hua* (90) *Lives of Shanghai Sing-song Girls* which deals with life among Shanghai prostitutes and their rich guests.

In the works of Mao Tun there are certain naturalistic features and naturalistic scenes to be found there. This, however, is no reason why we should take him for a naturalist and cannot even be stated that these are traits of a naturalist influence. We have no conclusive evidence for such an assertion. Mao Tun never devoted any study to naturalist authors, nor did he translate their works, with the exception of a few of Maupassant's stories. Those who know Maupassant's stories and Mao Tun's works realize what difference there is between the naturalisms of both these authors. Mao Tun did study Zola's method of „objective observation“ and „objective description“ (even though it was an illusory effort), but he categorically condemned the literary principles of Zola—the idea of determinism, the mechanical world view, the theory of heredity, the bestial expressions in man's actions. The work of Mao Tun which is like a small „natural history of the society“ of China in the period beginning with the May Fourth Movement up to the year 1949 is not based on a fictitious history of sons and daughters, grandsons and granddaughters of a mentally deficient prostitute and notorious alcoholic, as is the case in *Les Rougon-Macquart*, but rests upon living reality observed by a progressive writer, philosopher and politician. As the motto of his first work Mao Tun did not choose the cynical observation of Taine: „Vice and virtue are products like vitriol and sugar“—as Zola did in his *Thérèse Raquin*—and thus expressed to a certain extent his literary creed. Mao Tun in his first work tried rather „to inflame a spark of light from the remnants of my vital power in this troubled and grey human life“.²⁹ And in his later books he put his work at the service of progress and the struggle for a better future.

In the booklet *Ch'uang-tso chun-pei* (91) *Preparations for Creation*, Shanghai 1936, in the third chapter he recommends to young authors Zola's method of material collection (newspapers cuttings, notes from books, records of conversations with people), but he asserts that this method he regards as insufficient. Under Chinese conditions at that time, however, this method was the best, because there was no freedom of movement then.

From the above stated we come to the conclusion that Mao Tun primarily looked for a method in the works of Zola. In many other aspects he was not satisfied with him. Naturalistic scenes are rather frequent in old Chinese novels *Chin P'ing Mei* (92) *Chin P'ing Mei*, novels of Ming period and others. Even in modern Chinese literature there are also frequent naturalistic scenes. Lao She (93), for instance, in his best novel *Lo-t'o Hsiang-tzu* (94) *Rickshaw Boy* describes scenes in which father forces his daughter to become a prostitute, or the husband lets his wife die in childbirth, though he could have helped her. The writer Wu Tsu-hsiang (95) in one of his best stories *Fan-chia-p'u* (96) *The Village of the Fan Family* lets the daughter kill her

²⁹ See note 24, p. 1138.

mother to steal her money. Naturalistic scenes were presented in older Chinese literary works and it cannot be said that they would in any way be detestable to the literary taste of writers and readers during the period following the May Fourth Movement. Why then look for French or Japanese influence when there are no special, sufficiently strong arguments for it?

Besides this, naturalistic scenes in Mao Tun's works are usually very functional and short, they serve the ideological and artistic intention of the individual works and make them more expressive and effective. In this fact they are different from many naturalistic scenes of Zola.

To conclude our deliberation: Was Mao Tun concerned with the realistic creative method when he emphasized the need of a "scientific descriptive method" or not? Is Sorokin's opinion correct? It does not appear so from the demand „write what you see“, which is more like a naturalistic method. If we realize, however, that Mao Tun's endeavour was to make writers learn to know life and not to describe what is unknown to them, to enable literary works to have an ideological and artistic effect and to make literature an open or covert instrument in the struggle against the dark aspects of life, to have faith in the future and to be a social instrument, all of which he expressed in various articles, then we must agree with Sorokin.

In the substantial third chapter called First Novels (pp. 44—75) the author examines Mao Tun's trilogy. He supplements very well the respective part of Yeh's book with a clear-sighted analysis of figures. Here he uses most effectively the methods of psychological analysis. He ranges the trilogy, just as Yeh does, among the critical-realistic works of modern Chinese literature (p. 74), he regards it the first work of modern Chinese literature which reacts to the serious problems of contemporary social reality and the composition of the two last novels he regards as an innovation, because it is more complicated than that of the contemporaries of Mao Tun (*ibid.*).

Sorokin examines the novel *Hung* and the other works written in the years 1929—1931 in the chapter called On the New Road. Unfortunately, here he also examines the stories of Mao Tun from 1928—1929, such as *Tzu-sha* (97) *Suicide* and others (pp. 80—83) of which only *T'o-lo* (98) *The Little Top* should to a certain extent be placed into this chapter. *Tzu-sha* etc. should be placed into previous chapter.

The author of this article had the opportunity to deal with Mao Tun's short stories for some period and on the grounds of this study he asserts that in the stories written in the second half of 1928 and in 1929 Mao Tun endeavoured to take the path of the „new road“ but was unsuccessful in it. With the exception of the story *T'o-lo*, but even there only to a certain extent, he pictured only „grey and depressing reality“ in the spirit of the novels and stories of 1927 and the first half of 1928. The story *Ni-ning* (99) *Mud*, which filled Sorokin with enthusiasm, belongs to the best of Mao Tun's stories, but is most certainly not „an indicator on the road of a new advancement of the writer's work“ (p. 83). *Ni-ning* is a beautiful variation on a theme taken from the novel *Tung-yao* (100) *Waverings*, it cannot be characterized

as „the first outline of the famous village trilogy written a few years later“ (ibid.).

The longest chapter is the one dealing with *Tzu-yeh* and the works written in the years 1931—1937. Sorokin evaluates *Tzu-yeh* as „the widest multiplan social-epic screen in the history of contemporary Chinese prose“ (p. 100) and as „the first social epopee of Chinese literature...“ (p. 104). *Tzu-yeh* has a key position in modern Chinese literature. „With the appearance of the novel *Tzu-yeh* Chinese prose passed from the inductive analysis of individual questions and individual destinies to the reconstruction of life in a ‚vertical cross-section‘, in a complex of political, economic, moral and other problems“ (p. 101).

The part dealing with the female characters of this novel and of the previous works is the most impressive. The female characters of *Tzu-yeh* are weaker than those of Mao Tun's trilogy and of the *Hung*. While the female characters in Mao Tun's former works were better, now the male characters are pictured in a better way (pp. 114—115).

Sorokin regards *Tzu-yeh* as a socialist-realistic work. „Mao Tun's novel corresponds really with the fundamental criteria of the method of socialist realism, because it not only deeply and truthfully pictures the historical reality, but also shows the line of its revolutionary development. In the emotional composition of the work one can sense his belief in the victory of the masses which rose to struggle. It is also known that from the beginning of the thirties he not only accepted as his own the principles of Marxist aesthetics, but was also one of the leaders of the revolutionary front in literature. Therefore, it can be stated that in the novel *Tzu-yeh* Mao Tun presents himself as a socialist-realistic writer“ (p. 125). Sorokin admits that „... in view of the objective conditions the critical line in the novel is presented relatively more strongly than the positive principle. This, of course, weakens the position of the novel as a socialist-realistic work“ (pp. 125—126).

Sorokin also regards the other works of Mao Tun as socialist-realistic: „We should state straight away that we are inclined to regard Mao Tun's other works as being socialist-realistic, although the revolutionary struggle of the people is practically not shown in them directly“ (p. 126).

In analysing *Tzu-yeh* Sorokin showed some works of the classical literature which in certain respect are near to this novel. First he pointed out *Hung lou meng* (101) *Dream of the Red Chamber* by the author Ts'ao Hsüeh-ch'in (102) (1719?—1763). He does not state concretely what are the features of their affinity, but writes the following: „It is quite clear that we can speak only of similarities and seldom about Ts'ao Hsüeh-ch'in's influence on the works of Mao Tun“ (p. 103). He does not state, however, which similarities or influences he has in mind.

He also notes „certain near points with the classical novels *Chin P'ing Mei* and *Ju-lin wai-shih*.“ Here we quote the following words written about it: „In the first case it is a fearless revelation of the notables of society, sharp vital characteristic, and in the second the illustration of the powerlessness and incapability of the intelligentsia serving the powerful ones of the world“ (ibid.).

When looking into world literature he finds an analogy with the novels of Zola. But somehow this does not fit the picture, because „the European enterpriser of the epoch of growing capitalism is very different from his younger Chinese colleague trying in vain to defend his independence and existence against the graspingness of foreign monopolies“ (p. 109). And when on p. 84 he refers to the „exact descriptions of interiors“ in the *Ch'uang-tsao* (103) *Creation* and *Shih yü san-wen* (104) *Poems and Prose* stories, which remind him of Zola's books, he forgets that they could just as easily have reminded him of Balzac, Flaubert or Tolstoy, too, because they all used to a great extent the descriptive method.

When referring to analogy, we must at least to a certain degree be concrete, because analogy is well-founded only if it is graphic. When referring to the works of Zola, Sorokin's analysis is very ungraphic. The same can be also said of the assertion regarding the influence of M. Gorky's *Foma Gordeyev* on Mao Tun's works (p. 109). Here it would be necessary to show how these influences revealed themselves.

In *T'an wo-ti yen-chiu*, the article quoted above, Mao Tun wrote: „There are very few of the most excellent writers in the world who have not read a certain number of important works of their predecessors and who were not fascinated by them... In fact, no writer exists who could create without having anything at hand or relying on something. Therefore, those who want to write novels must next to the study of the „characters“ also study the important works of their predecessors and popular literature collected and handed down from generation to generation“ (pp. 83—84).

Then he continues in the following way: „I think that my greatest help at the time when I started to write novels was the fact that I had previously read some works of foreign literature. I had read works of a very varied character. From English literature I had read most from Dickens and Scott, from French A. Dumas, Maupassant and Zola, from Russian Tolstoy and Chekhov. Besides I had also read the works of several authors of the small and oppressed nations“ (p. 84).

As regards M. Gorky and the Soviet literature he wrote: „I have started to read Gorky and the new Russian writers only recently“ (ibid.). This article was written probably in 1935, and from this fact it follows that he only started to devote himself to the systematic study of Soviet authors in the thirties.

From the above stated it is clear that the question of the influence on the works of Mao Tun is not an easy matter. From the present state of research of his works it is very difficult to prove concretely which writer had an outstanding influence on him. Mao Tun has, no doubt, studied very intensively to master the art of literature and the theory of novels,³⁰ he had rich life experience, sufficient knowledge of poli-

³⁰ To this problem Mao Tun devoted several articles of which *Jen-wu-ti yen-chiu* (105) „*The Study of Characters*“, Hsiao-shuo yüeh-pao, 16, 3, March 10, 1925, pp. 1—20, is the first and more profound. To the theory of the novel he devoted the book *Hsiao-shuo yen-chiu ABC* (106) „*Introduction into the Study of the Novel*“, Shanghai 1928, pp. 118.

tical, economic and social matters, he had a wide and varied practice in translations and literary-critical works, he did have some favourite authors but his taste changed quite frequently and did not concentrate on one author too long, and could, therefore, afford to write without any epigonal urge. Mao Tun did take over some things in the field of literary theory, some also in literary practice—as it is impossible not to do so. As a person he was naturally influenced, at least to an extent which he himself admits, by Chinese and European literature of his time and of past periods by the extent and depth of his knowledge and aspects; but this taking over seems to us very general, so that it is difficult to show anything concrete. Who can guarantee, that anything we regard as common with the author compared is not purely accidental and thus every affiliation is absolutely excluded. Further, intensive research will be needed before it is possible to decide clearly on this subject. Only the influence of Th. Dreiser's novel *The Financier* seems to be obvious on *Tzu-Yeh*.

At the end of the chapter Sorokin examines the stories of that period. His analysis is weaker than the *Tzu-yeh* analysis. Generally speaking, his analysis of stories are in all cases weaker than those of novels.

Sorokin elaborated Mao Tun's works from 1936—1945 much better than Yeh did. Primarily, he devoted much more attention to *Fu-shih* (pp. 152—162) and sensitively evaluated the novels *Ti-i chieh-tuan-ti ku-shih* (107) *Stories of the First Stage* (pp. 144—149) and *Shuang-yeh hung ssu erh yüeh hua* (108) *Frosted Leaves are Red as Flowers in Spring* (pp. 163—169). This chapter contains most of the new element in Sorokin's book.

In it he mentions one interesting observation which is valid for that part of Mao Tun's works written in those years: „In the *Ti-i chieh-tuan-ti ku-shih* some new tendencies appear showing themselves also in many other works written during the war. Here we think of the tendency (he indicates only one, M. G.) which lies in the rapprochement between artistic and essayist literature, in the maximum localization of the narration regarding its time and space, in heading for the subject connected with important events which the country lived through only recently. In these works the specific measure of artistic imagination clearly decreases, the author puts on the scene more and more frequently definite living people under fictitious names, relatively often he resorts to an autobiographic genre“ (p. 145).

This is certainly an interesting observation, but to which of Mao Tun's works does it apply? Sorokin states that these new features „are not characteristic of the novels *Fu-shih*, *Shuang yeh hung ssu erh yüeh hua*, of the play *Ch'ing-ming ch'ien-hou* and many stories“ (ibid.). It may be added that they are not characteristic of any of his stories, and these are practically all his belletristic works, with the exception of *Ti-i chieh-tuan-ti ku-shih*.

As regards other works of that period Sorokin states that „the artistic-documentary form“ (as he calls it) is typical of the work *Chieh-hou shih-i* (109) *Memories of a Disaster*, *Sheng-huo-chih i yeh* (110) *One Side of Life*, *T'o hsien tsa-chi* (111)

Rescue from Danger and others. On page 163 he records also *Kuo feng-sou-hsien* (112) *Through the Blocade Line* and *Hsi-liang* (113) *Delusive Fear*. Besides, *T'o-hsien tsa-chi* is not a wartime work but was written in 1948. The same also applies to *Sheng-huo-chih i yeh* written in 1946.³¹ It is rather difficult to characterize, as Sorokin does, the small work *Chieh-hou shih-i* as a novel, as it is nothing but a long report with elements of autobiography in it. Mao Tun himself wrote the following about it: „Originally I wanted to describe the Hongkong war in the form of a novel. Now, however, this booklet has turned out to be a few sketches... and not a novel. This is an old deficiency one can see with half an eye.“³²

Even more autobiographic are the other works mentioned. Mao Tun wrote most of his autobiographic material during the war and almost all of it refers to Hongkong, its fall after the Japanese attack at the end of 1941 and his escape from Hongkong to the Chinese mainland at the beginning of 1942.

On the whole it can be said that besides *Ti-i chieh-tuan-ti ku-shih* Mao Tun did not use in any of his strictly artistic works (i.e. novels, stories, drama) that „artistic-documentary form“, except for the above mentioned autobiographic sketches or reports. Therefore, we can apply Sorokin's observations on the works of Mao Tun only with great reserve.

The most valuable part of this chapter is the one examining *Fu-shih*.

„Of all Mao Tun's novel *Fu-shih* surpasses all with its harmonious composition and the intensity of the action unfolding. It is, of course, no detective story, although the book devotes relatively a lot of space to the description of police method of spying, this, however, does not interest the author, because really the persecutors are the criminals and not the persecuted. It should be noted, however, that utilization of some elements of the adventure novel technique showed positive results in the construction of the subject and the rhythm of narration. The novel of Mao Tun has all the following similar procedures: unexpected meetings, overheard conversations, conspiracy, intentionally unfinished sentences—all this is organically interwoven into the composition and suits the theme of the work“ (pp. 153—154).

He evaluates highly the picture of Chao Hui-ming (115), the main character of this work. He regards it as „psychologically probably the best and most manifold picture of all the writer's work so far“ (p. 162). It is rather unfortunate that he did not connect it with the female characters of the trilogy and other former works and thus did not show what a great step ahead in the artistic development of the author this unusual picture meant. Doing this in the case of *Tzu-yeh*, he could have done the same here, too.

Sorokin also reviews the style of the novel, which „excels by its increased expressiveness and is more emotional and personal than it is usual with Mao Tun“ (ibid.).

³¹ See *Mao Tun wen-chi*, vol. 10, Peking 1961, p. 376 and p. 201.

³² *Hsin-pan hou-chi* (114) „Epilogue to the New Edition“, *Mao Tun wen-chi*, vol. 5, Peking 1958, p. 430.

From certain points the examination of *Shuang yeh hung ssu erh yiieh hua* also deserves attention. Sorokin shows again some of its affinity with *Hung lou meng* and also with Pa Chin's (116) trilogy *Chi-liu* (117) *Wild Flow*. *Hung lou meng* influenced the style and composition of a novel, in content Mao Tun's novel is nearer to *Chia* (118) *Family*, the first book of the above mentioned trilogy.

He writes about it that it „occupies a special place in the writings of Mao Tun not only because it is his only large work describing a period distant from that of the writing by a whole quarter of a century, but also because the novel is very specific from the artistic point of view, which proves the extension of the author's creative horizon. We have already mentioned the influence of classical novels. It shows itself in external specialities (style, language) and to a certain extent in the principles of the construction of the novel's composition and subject“ (p. 167).

As regards style and language, it shows itself in a greater number of turns of speech from wen-yen, turns introducing direct speech (ibid.). The influence on the composition and subject construction can be seen in the „slow tempo of narration, in the detailed, even naturalistic fixation of the conversation of participating persons, in the utilisation of the method of introducing the persons when one person draws into action the other and then retires for some time, as is used in the first chapters of the novel“ (p. 168).

Contrary to Yeh who finishes with the year 1949, Sorokin also mentions in a short epilogue the following period (pp. 179—182).

The book contains a few factual mistakes which we take liberty of pointing out.

On page 20 it states that Mao Tun learned to know Lu Hsün in the autumn of 1927. In fact, they learned to know each other a year earlier.³³

Above we pointed out how important it is for those who study the works of Mao Tun to get fully acquainted with his pseudonyms. On page 37 Sorokin asserts that up to 1927 Mao Tun had not written a big work on Russian literature and had translated only a few works from Russian. Indeed, Mao Tun had not written any big work about Russian literature, but he had not really written any big work about any other literature either, but taking into consideration his whole activity as a translator, he certainly made quite a lot of Russian works accessible to Chinese readers. Besides the translations mentioned by Sorokin on page 11, Mao Tun also translated in the Hsüeh-teng two stories by Chekhov (on August 20—21, 1919 and October 11—14, 1919), in the same supplement a story by M. Gorky was also published (on October 25—28, 1919) and one by M. E. Saltykov—Schadrin (on December 27—29, 1919).³⁴ In the Hsüeh-sheng tsa-chih Mao Tun also helped his brother Shen Tse-min (publishing under the pseudonym Ming Hsin) (121) to translate

³³ See *Lu Hsün jih-chi* (119) „*Lu Hsün's Diary*“, Peking 1958, entry of August 30, 1926.

³⁴ See *Wu-ssu shih-ch'i ch'i-k'an chieh-shao* (120) „*A Survey of Periodicals Round the May Fourth Movement*“, vol. 3, Peking 1959, pp. 758, 763 and 770.

L. Andreyev's story *The Seven Hanged Men*.³⁵ In Hsiao-shuo yüeh-pao (in O-kuo wen-hsüeh yen-chiu chuan-hao) (122) „Special Number Devoted to the Study of Russian Literature“ of September 1921 we find some translations published under the pseudonym Tung Fen (123), one of the pseudonyms of Mao Tun. There we also find stories by Saltykov—Schedin, Gleb—Uspensky, Leskov, Kuprin and two Russian narrative poems.

On page 77 he writes that Ch'uang-tsao-she (124) „Creation Society“ edited the magazine Wen-hua p'ing-lun. This is probably a misprint. The magazine was really called Wen-hua p'i-p'an (125).³⁶

The same applies to the mistake on page 176. The magazine edited by Mao Tun in 1945 was not called Wen-hsüeh, but Wen-shao (126).³⁷

From the account given on page 91 it would seem that the magazine Lun-yü (129) existed already in 1930. This is not so, as it only started to be published in 1932.³⁸

The book of Sorokin is a serious contribution to the study of Mao Tun's writings. While the book of Yeh played the role of pioneer in this study, the book of Sorokin is deeper and more profound. It is a beginning of a larger study of Mao Tun's works outside China.

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Neither of the two books are balanced in the sense of being analyses of Mao Tun's belletristic works, literary criticism or other articles and studies. But this cannot be a matter of criticism. They were correct in wanting to examine primarily the works of Mao Tun. This, however, brought only partial results. Mao Tun has his place in Chinese literature as a writer, but at a certain period even more as a literary critic, one of the most distinguished creators of modern Chinese literary criticism, and to a certain extent also of theory. His work as a writer lasted more than 20 years (1927—1948), but to literary criticism he devoted his attention from the year 1919 up to the present. A future work on Mao Tun should pay greater attention to the literary and critical aspects of Mao Tun's activity.

Realistic criticism is the most important trend in modern Chinese literary criticism,

³⁵ Hsüeh-sheng tsa-chih, 8, 4, April 1921, pp. 1—12.

³⁶ Wen-hua p'i-p'an „Critique of Culture“, monthly, first number published in January 1928, Shanghai.

³⁷ Wen-shao „Literary Outpost“, monthly, first number published on May 4, 1945, Ch'ung-ch'ing. Only three numbers were published, the journal was suppressed by the Kuomintang censorship. The editor-in-chief was Yeh I-ch'ün (127), a distinguished representative of the contemporary, young, progressive generation and Mao Tun's friend. Mao Tun had a great say on the editorial board. Later (beginning from January 1946) he edited together with Yeh I-ch'ün the magazine Wen-lien (128) „Literary Unity“, the editorial board office of which was in Ch'ung-ch'ing and it was published in Shanghai. This periodical was after the publication of several numbers also suppressed by the Kuomintang censorship.

³⁸ Lun-jü „Analects“, fortnightly, first number published in September 1932, Shanghai.

just as realistic creative works are the main current in modern Chinese literature. If we want to acquaint ourselves with these literary writings—and our study is intended to do that—we must become familiar with the literary criticism evaluating them which brought them to life or led to their destruction. We shall understand the specific character of Chinese literature more fully if we get acquainted with Chinese criticism, its content and methods.

A profound knowledge of Mao Tun's literary and critical work is greatly dependent on the study of literary magazines. Without them this study is often impossible. Both, Yeh and Sorokin, primarily studied Hsiao-shuo yüeh-pao. It is, no doubt, the most important magazine for acquainting oneself with Mao Tun's writings in the twenties, but Wen-hsüeh hsün-k'an is also very important.³⁹ This supplement was more progressive and above we could see how well it supplemented the Hsiao-shuo yüeh-pao.

Neither Yeh nor Sorokin mentioned China's most important literary magazine of the thirties — Wen-hsüeh (131) „Literature“.⁴⁰ In this magazine under various pseudonyms Mao Tun published many critical reviews, articles and essays which give a very exact picture of his literary profile. Only a part of these works was published in books.

Another unnoticed magazine is Wen-i chen-ti (132) „Literary Front“ where under different pseudonyms he published short essays, critical reviews of books and magazines etc. In the main, these writings were not published in book form.

An absolutely neglected period of Mao Tun's creative activity is the year 1941—his second stay in Hongkong. It represents the peak of his creative activity (next to 1931—1932). Here, we call attention to the evening daily Hua-shang-pao, the magazine Pi-t'an (133) „Literary Discussions“ and the magazine Ta-chung sheng-huo.

The other literary journals of the years 1942—1949 and those following also contain much important material, but their number is rather big and, therefore, we are not going to mention them here. Most of them have also been published as books.

In studying the works of Mao Tun greatest attention was paid to the period of his literary and critical activity in the years 1920—1927, to the novel *Tzu-yeh* and trilogy *Shih*. This also shows itself very clearly in the two books reviewed above. While the period up to the beginning of the anti-Japanese war (1937) is dealt with in a detailed manner, the period after 1937 is dealt with perfunctorily and with

³⁹ The continuation of Wen-hsüeh hsün-k'an, which was a supplement to the newspaper Shih-shih hsün-pao and whose first number was published in May 1921 was Hsüeh-teng—Wen-hsüeh (139) „Lantern of the Study—Literature“ published from July 1923 (i.e. beginning with No. 81) and from May 1925 (i.e. beginning with No. 172) it was called Wen-hsüeh chou-pao and was published independently.

⁴⁰ Wen-hsüeh, monthly, first number published in July 1933, Shanghai. This magazine was published until the beginning of the anti-Japanese war.

the exception of Sorokin superficially. Yeh devotes to the period up to 1937, 135 pages out of the total of 174, while Sorokin 139 out of the total of 182 pages.

Greater attention will have to be paid to *Fu-shih* with a more detailed evaluation of the year 1941, to his short stories, the literary and critical writings and Mao Tun's biography. The individual biographical data published in the two books analysed are mostly correct, but sometimes not precise.

The wider literary context into which Sorokin arranged Mao Tun's works should be emphasized. This should be continued. It is, however, essential to place in the widest possible literary context not only his individual works but the whole of his creative activity as a writer and critic, to find out wherein are his works specific for modern Chinese literature and what they meant for it, and to determine their place and importance in it. What is more, to do the same also in respect of the world literature, because Mao Tun on the basis of the quality of his works, creative and critical, can be placed among the distinguished writers of the world, those who created and helped to create modern realistic literature.

There are more bright spots in the study of Mao Tun than shown by us. It will be necessary to pay greater attention of Mao Tun's poetics, language, style, composition etc.

The systematic study of Mao Tun's works has but a short history—of less than 10 years. Both, Yeh and Sorokin, have done a good work. Their work will make it possible to develop further, more purposefull and deeper research into the works of Mao Tun. This article, especially the references made to unnoticed materials and problems, is intended to be a stimulus and incentive for further study of this field of modern sinology.

⁴¹ Wen-i chen-ti, fortnightly, first number published in April 1938. Published successively in Han-k'ou, Hongkong and Shanghai until 1942.

⁴³ Pi-t'an, fortnightly, first number published in September 1941, Hongkong. Published altogether 7 numbers.

1) 寸寸金 2) 論茅盾四十年的文學道路 3) 茅盾的魯迅
 5) 吳奔星 6) 茅盾小說講話 7) 邵伯周 8) 茅盾的文學道路
 9) 學生雜誌 10) 佩章 11) 東方雜誌 12) 婦女雜誌
 13) 解放與改造 14) 學燈 15) 時事新報 16) 現在文學記
 的責任是什麼呢? 17) 雁冰 18) 歐美新文學最近之趨勢
 19) 胡先驕 20) 歐美新文學最近之趨勢 21) 學衡
 22) 復古 23) 驚鴻蝴蝶派 24) 論無產階級藝術
 25) 文學週報 26) 右主 27) 蘇維埃俄羅斯革命詩人
 28) 歐洲大戰與文學 29) 小說月報 30) 沈雁冰
 31) 文學者的新使命 32) 文學與人生 33) 中國現代
 文學史參考資料 34) 陶燦明 35) 桃花源 36) 介紹
 37) 蝨 38) 虹 39) 從「蝨」到「虹」——論茅盾由大革命到
 左聯前夕的創作 40) 孝學與研究彙刊 41) 子夜 42)
 腐蝕 43) 清明前後 44) 見聞雜記 45) 華商報 46) 旅店
 小景 47) 如是我見我聞 48) 大眾生活 49) 青年的痛苦
 50) 事實是最無情的 51) 日記 52) 小野思 53) 鍛鍊
 54) 文化報 55) 一個夠程度的人 56) 文藝復興
 57) 驚蟄 58) 小說 59) 春天 60) 墨子 61) 楚辭 62) 學生
 國學叢書 63) 莊子 64) 淮南子 65) 自然主義與中國
 現代小說 66) 曹拉主義的危險性 67) 即損 68)
 文學旬刊 69) 古壁 70) 西洋文學通論 71) 從紡綫到
 束索 72) 周作人 73) 藝術與生活 74) 愛護的寫
 75) 幻想 76) 水仙傳 77) 施耐庵 78) 二園演義
 79) 羅貫中 80) 西遊記 81) 吳承恩 82) 聊齋志異
 83) 蒲松齡 84) 讀賣小說 85) 雜感 86) 讀我的研究
 87) 印象、感想、回憶 88) 儒林外史 89) 吳敬梓
 90) 海上花 91) 創作的準備 92) 金瓶梅 93) 老舍

94, 駱駝祥子 95, 契訶夫 96, 契家鋪 97, 自殺
98, 陀螺 99, 泥濘 100, 動搖 101, 紅樓夢 102, 曹雪芹
103, 創造 104, 詩與散文 105, 人物的研究 106, 小說
研究 ABC 107, 第一階段的故事 108, 霜葉紅似二月花
109, 却後拾遺 110, 生活之一頁 111, 脫險雜記
112, 過封鎖錢 113, 虛悚 114, 新版后記 115, 趙惠明
116, 巴金 117, 激流 118, 家 119, 魯迅日記 120, 五四
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UN TEXTE OSMANLI-TURC EN TRANSCRIPTION LATINE DU XVII^e SIÈCLE

GEORGES HAZAI, Budapest—Berlin

La liste de nos monuments osmanlis-turcs en transcription peut être complétée par un nouveau texte.¹ Ce texte, de la plume de Fr. Pétis de la Croix (1622—1695), orientaliste français connu, est une „exhortation“ destinée à servir de préface à la description de voyage de M. Thévenot (1620—1692).² Bien que les circonstances dans lesquelles ce texte intéressant a été noté compliquent notre tâche, en ce qui concerne l'appréciation des données, il n'en est pas moins susceptible de nous fournir quelques indications fort précieuses.³

La langue du texte

1. Considérations générales

La langue du monument révèle immédiatement que la personne qui a fait l'enregistrement n'est pas turque de naissance. Ainsi, il arrive souvent que le sens du texte — en particulier à la cause du cadre métrique dans lequel les phrases sont logées — ne devienne clair que lorsqu'on a recours à la traduction française. Les données du monument ne peuvent donc être analysées qu'au point de vue phonétique et morphologique. Ce qui entrave surtout la reconstruction du phonétisme, c'est que l'enregistreur a trop rigoureusement observé l'orthographe en caractères arabes; son texte offre en essence une transcription fidèle. Ceci toutefois ne nous empêche ne pas d'en tirer certaines conclusions.

2. Notation phonétique

Dans la transcription du texte turc en caractères latins on a fait valoir les normes de la notation phonétique française, dont les principales caractéristiques peuvent être résumées comme suit:⁴

¹ Pour la bibliographie des textes transcrits voir G. Hazai, *Monuments linguistiques osmanlis-turcs en caractères cyrilliques dans les recueils de Bulgarie*: Acta Orient. Hung. XI (1960), p. 211.

² M. Thévenot, *Relation d'un voyage fait au Levant...* Paris 1663 (voir fac-simile).

³ Pour la vie et l'activité de ces deux personnages connus de la science française voir *Larousse du XX^e siècle*, V, 1932, p. 511; ibid. VI, 1933, p. 679.

⁴ Après chaque recoupement nous avons indiqué la ligne dans laquelle il se trouve (1 = ligne).

a) Voyelles: *ü = u*: *guzel* (1.5) \approx *güzel* „beau“, *idup* (1.9) \approx *etmek* „faire“, *ichlerugnu* (1.9) \approx *iş* „chose“; *u = ou*, *u*: *maqbul* (1.12) \approx *makbul* „accepté, agréable“, *mechhour* (1.22) \approx *meşhur* „célèbre“; *tchigarup* (1.7) \approx *çıkarmak* „tirer, enlever“, *varup* (1.24) \approx *varmak* „arriver“; *i = i*, *e*: *tchigarup* (1.7) \approx *çıkarmak* „tirer, enlever“, *iararlighuni* (1.14) \approx *yararlık* „aptitude, courage“, *baghichlar-segnuz* (1.10) \approx *bağışlamak* „faire cadeau“; *i = i*, *y*: *bizeh* (1.10) \approx *bize* „pour nous“, *gheturdy* (1.8) \approx *getirmek* „apporter“.

Parfois les lettres munies d'accents, le *é* (*né*, 1.12 \approx *ne* „que“, *vé*, 1.16 \approx *ve* „et“) sert à la fixation plus précise de la prononciation individuelle, tandis que *â* resp. *ê* à la transcription de la lettre ع de l'écriture arabe (cf. 5.e).

b) Consonnes: *č = tch*: *tchelebinung* (1.1) \approx *çelebi* „seigneur, Monsieur“, *tchigarup* (1.7) \approx *çıkarmak* „tirer, enlever“, *qatchan* (1.20) \approx *haçan* „quand“; *ş = ch*: *ichlerugnu* (1.9) \approx *iş* „chose“, *baghichlar-segnuz* (1.10) \approx *bağışlamak* „faire cadeau“, *cherif* (1.11) \approx *şerif* „noble, illustre“; *dž = dgi*, *g*: *amdgian* (1.8) \approx *amca* „oncle“, *oladgiaq* (1.12) \approx *olmak* „être, devenir“, *tergimani* (1.30) \approx *tercüman* „interprète“; *ŋ = gn*, *ng*: *ichlerugnu* (1.9) \approx *iş* „chose“, *kitabugnu* (1.11) \approx *kitap* „livre“, *chuhretung/leh* (1.17) \approx *şöhret* „célébrité“; *k = q*, *cq*: *qaradeh* (1.6) \approx *kara* „terre“, *tchigarup* (1.7) \approx *çıkarmak* „tirer, enlever“, *danucq* (1.23) \approx *tanık* „témoin“, *kitabden* (1.18) \approx *kitap* „livre“, *kerreh* (1.19) \approx *kerre* „fois“. Les signes *q*, *cq*, *k* indiquent la différence entre ق (q, cq) — ك (k) dans l'orthographe arabe. À ce point de vue la transcription est faite, pour le fond, de façon conséquente; on ne relève d'écarts que dans les cas suivants: *kablietugnu* (1.15) \approx *kabiliyet* „talent“, *turq* (1.28) \approx *türk* „turo“; *g = g*, *gh*: *guzel* (1.5) \approx *güzel* „beau“, *ganimetlu* (1.7) \approx *ganimet* „butin, proie“, *rigbetlu* (1.8) \approx *rağbet* „désir, affection“, *gheturdy* (1.8) \approx *getirmek* „apporter“, *ghezup* (1.14) \approx *gezme* „parcourir“; *ğ = gh*, *g*: *baghichlar-segnuz* (1.10) \approx *bağışlamak* „faire cadeau“, *iararlighuni* (1.24) \approx *yararlık* „aptitude, courage“, *itugumi* (1.18) \approx *etmek* „faire“; *h = kh*: *dakhi* (1.6) \approx *dahi* „aussi“, *fakhruni* (1.23) \approx *fahr* „gloire“; *h = h*, *hh*: *zehoureh* (1.8) \approx *zuhur* „apparition“, *chuhretung/leh* (1.17) \approx *şöhret* „célébrité“, *hhazretineh* (1.2) \approx *hazret* „excellence“, *hhaqqi* (1.19) \approx *hak* „droit“.

Les signes *h* — *hh* reflètent la différence de ه et ح dans l'écriture arabe. Notre texte n'omet pas de marquer la finale muette *h*: *bizeh* (1.10) \approx *bize* „pour nous“, *âlemdeh* (1.11) \approx *âlem* „monde“; *s = s*, *ss*: *siz* (1.9) \approx *siz* „vous“, *senden* (1.25) \approx *sen* „toi“, *tassnif* (1.13) \approx *tasnif* „composition, rédaction“, *ssauachumi* (1.20) \approx *savaş* „combat“. La différence *s* — *ss* correspond à la différence des lettres س — ص. *y = i*, *y*: *deria* (1.5) \approx *derya* „mer, onde“, *chikiai* (1.18) \approx *şikâyet* „accusation“, *riuayet* (1.20) \approx *rivayet* „relation“. Le groupe *ay* resp. *ayî* est marqué à deux reprises par *ai*: *duniai* (1.14) \approx *dünya* „monde“, *aiitti* (1.24) \approx *aytmak* „dire“. Le caractère palatal de l'initiale *k* se traduit par le groupe *ki*: *kiatibi* (1.29) \approx *kâtip* „secrétaire“. *v = u*: *riuayet* (1.20) \approx *rivayet* „relation“, *pehlean* (1.25) \approx *pehlivan* „héros“.

3. Assimilation vocalique

a) Dans le texte on relève quelques formes non soumises à l'assimilation vélaire-palatale. Radical vélaire suivi d'un morphème lié à vocalisme palatal: *zehoureh* (l. 8) \approx *zuhur* „apparition“, *qaradeh* (l. 6) \approx *kara* „terre“, *ssauachindeh* (l. 21) \approx *savaş* „combat“, *franqistandeh* (l. 22) \approx *Frengistan* „l'Europe“, *kitabden* (l. 18) \approx *kitap* „livre“.

Radical palatal suivi d'un morphème à vocalisme vélaire: *bilmezsah* (l. 22) \approx *bilmek* „savoir, connaître“.

Des formes semblables sont aussi attestées dans d'autres monuments linguistiques.

b) Dans le texte on tombe sur nombreuses formes contraires à la loi de l'assimilation labiale-illabiale, circonstance qui nous dispense de chercher dans le domaine de l'orthographe l'explication des formes correspondant à la situation phonétique de l'époque.

Assimilation illabiale: *danucq* (l. 23) \approx *tanık* „témoin“, *gheturdy* (l. 8) \approx *getirmek* „apporter“, *itchun* (l. 13) \approx *için* „pour“, *n-itchun* (l. 25) \approx *niçin* „pourquoi“; *ganimetlu* (l. 7) \approx *ganimet* „butin, proie“, *rigbetlu* (l. 8) \approx *rağbet* „désir, affection“; *sefer kitabi-sinung* (l. 3) \approx *sefer kitabi* „livre de voyage“, *padichahinung* (l. 29) \approx *padişah* „empereur“, *tchelebinung* (l. 1) \approx *çelebi* „seigneur, Monsieur“, *senung* (l. 26) \approx *senin* „ton, tes“; *ghendugnuz* (l. 13) \approx *kendiniz* „vous-même“; [suff. poss. 2. p. sg.:] *ssauachuni* (l. 20) \approx *savaş* „combat“, *fakhruni* (l. 23) \approx *fahr* „gloire“, *iararlighuni* (l. 24) \approx *yararlık* „aptitude, courage“, *chuhretung/leh* (l. 17) \approx *şöhret* „célébrité“, *âmeluneh* (l. 23) \approx *amel* „fait“; *kitabugnuz* (l. 11) \approx *kitap* „livre“, *ichlerugnuz* (l. 9) \approx *iş* „chose“; *âziz/dur* (l. 12) \approx *aziz* „cher, saint“; *baghichlar-segnuz* (l. 70) \approx *bağışlamak* „faire cadeau“; *duchurdung* (l. 21) \approx *düşürmek* „faire tomber“, *dolachdugnuz* (l. 14) \approx *dolaşmak* „parcourir“, *ittugumi* (l. 18) \approx *etmek* „faire“, *tchigarup* (l. 7) \approx *çıkarmak* „tirer, enlever“, *varup* (l. 14) \approx *varmak* „arriver“, *idüp* (l. 9) \approx *etmek* „faire“, *ghezup* (l. 14) \approx *gezme* „parcourir“.

Assimilation labiale: [acc.:] *oni* (l. 9), *ani* (l. 13) \approx *o* „lui“; [suff. poss. 3. p. sg.:] *iuzindeh* (l. 5) \approx *yiüz* „visage“.

4. Autres caractéristiques du système vocalique

a) Les recoupements suivants nous permettent de conclure quant à la position du *e* fermé: *idup* (l. 9), *itmek* (l. 13), *ittugumi* (l. 18), *itti* (l. 20), mais *eder* (l. 16) \approx *etmek* „faire“. L'interprétation des recoupements se heurte aux circonstances de la transcription. Néanmoins il est probable qu'il ne faut pas attribuer de valeur phonétique aux formes en *i*.

b) Pour la correspondance du son *a* de la première syllabe et du son *i* on a le recoupement suivant: *rigbetlu* (l. 8) \approx *rağbet* „désir, affection“.

c) Le son *u* de la première syllabe a comme correspondant *e* dans le mot *zehoureh* (l. 8) \approx *zuhur* „apparition“.

d) Le traitement $\ddot{o} > \ddot{u}$ de la première syllabe est attesté par le recouplement: *chuhretung/leh* (l. 17) \approx *şöhret* „célébrité“.

e) La disparition de la voyelle médiane est relevée dans *kablietugnuz* (l. 15) \approx *ka-biliyet* „talent“.

f) Le phénomène de l'épenthèse, la désagrégation du groupe consonantique à l'initiale se trouve illustré par le mot: *Faransah* (l. 28) \approx *Fransa* „la France“.

g) Le vocalisme $e - e - \bar{a}$ est relevé dans le mot *pehleuan* (l. 25) \approx *pehlivan* „héros“.

h) Le mot *terdžümān* „interprète“ que l'on rencontre le plus souvent avec un vocalisme $e - \ddot{u} - \bar{a}$, ou $e - e - \bar{a}$ se présente ici sous la forme *tergimani* (l. 30).

i) Dans le mot *franqistandeh* (l. 22) \approx *Frengistan* „l'Europe“ on relève l'influence du phonétisme français.

5. Consonnes

a) Le mot *tanık* „témoin“ est attesté dans notre monument sous la forme *danucq* (l. 23).

Il est bien difficile d'interpréter la forme *ghendugnuz* (l. 13) du mot *kendi* „soi-même“. Quoique les variantes en *g* du mot soient bien connues, il est permis de se demander si la forme attestée dans notre monument n'est pas due à la transcription.

La situation des occlusives en position finale est illustrée par les recouplements *taglid* (l. 9) \approx *taklit* „imitation“, *kitabden* (l. 18) \approx *kitap* „livre“, *sefer kitabi-sinung* (l. 3) \approx *sefer kitabi* „livre de voyage“. La valeur phonétique des deux premières formes est fortement mise en doute par les formes suivantes qui semblent refléter plus fidèlement l'état phonétique: *tchigarup* (l. 7) \approx *çıkarmak* „tirer, enlever“, *varup* (l. 14) \approx *varmak* „arriver“, *idup* (l. 9) \approx *etmek* „faire“, *ghezup* (l. 14) \approx *gezmek* „parcourir“.

b) Le recouplement qui suit indique apparemment la conservation de la consonne -ğ-: *baghichlar-segnuz* (l. 10) \approx *bağışlamak* „faire cadeau“, *ittugumi* (l. 18) \approx *etmek* „faire“, *iararlighuni* (l. 24) \approx *yararlık* „aptitude, courage“. L'interprétation des recouplements se complique du fait que la transcription a fidèlement suivi l'orthographe conformément aux caractères arabes. Compte tenu de l'état phonétique de l'époque il est cependant plus que probable qu'il ne s'agit pas d'un phénomène orthographique.

c) Nombreux recouplements de notre monument indiquent la conservation du son *ŋ*. On y trouve pourtant aussi des formes en *n*. L'interprétation du phénomène se trouve compromise par la fidélité de la transcription.

Nos recouplements sont les suivants: *banga* (l. 24) \approx *bana* „pour moi“, *ghendugnuz* (l. 13) \approx *kendiniz* „vous-même“, *senung* (l. 26) \approx *senin* „ton, tes“, *sefer kitabi-sinung* (l. 3) \approx *sefer kitabi* „livre de voyage“, *padichahinung* (l. 29) \approx *padışah* „empereur“, *tchelebinung* (l. 1) \approx *çelebi* „seigneur, Monsieur“, *chuhretung/leh* \approx *şöhret* „célébrité“;

kitabugnuz (l. 11) \approx *kitap* „livre“, *ichlerugnuz* (l. 9) \approx *iş* „chose“, *kablietugnuz* (l. 15) \approx *kabiliyet* „talent“; *baghichlar-segnuz* (l. 10) \approx *bağışlamak* „faire cadeau“; *duchurdung* (l. 21) \approx *düşürmek* „faire tomber“; *dolachdugnuz* (l. 14) \approx *dolaşmak* „parcourir“.

De même: *amdgian* (l. 8) \approx *amca* „oncle“, *fakhruni* (l. 23) \approx *fahr* „gloire“, *ssauachuni* (l. 20), *ssauachindeh* (l. 21) \approx *savaş* „combat“, *iararlighuni* (l. 24) \approx *yararlık* „gloire“, *âmelune* (l. 23) \approx *amel* „fait“.

d) Deux recoupements renvoient à la conservation du son h : *dakhi* (l. 6) \approx *dahi* „aussi“, *fakhruni* (l. 23) \approx *fahr* „gloire“. Les considérations relatives à la transcription du texte empêchent une solution définitive du problème. Le traitement $h > k$ attesté encore d'autres monuments est reflété par le recoupement suivant: *maglouqden* (l. 16) \approx *mahluk* „créature“.

e) L'occlusive laryngale — reflétant la lettre ع — est marquée par le texte (cf. 2.a). Elle est toutefois probablement dénuée de valeur phonétique. Relevons encore le mot *têlim* (l. 16) \approx *talim* „instruction“ offrant un cas de déplacement du vocalisme.

6. Morphologie

a) A la 3^e pers. sg. du pronom personnel on est en présence de l'alternance $a \sim o$: [acc.] *ani* (l. 13) \sim *oni* (l. 9) \approx *o* „lui“.

b) La désinence verbale de la 2^e pers. sg. du présent est attestée, dans notre monument, sous la forme *sen: ghizlersen* (l. 26) \approx *gizlemek* „cacher“.

c) La postposition *-ile* apparaît sous la forme abrégée: *chuhretung/leh* (l. 17) \approx *şöhret* „célébrité“.

(De la Bibliothèque de Louve)

RELATION

D'VN

VOYAGE

FAIT AV

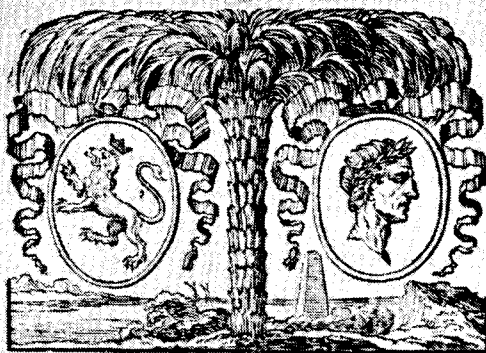
LEVANT

DANS LAQUELLE IL EST CVRIEVSEMENT TRAITÉ
des Estats sujets au Grand Seigneur, des Mœurs, Religions,
Forces, Gouuernemens, Politiques, Langues, &
coustumes des Habitans de ce grand Empire.

*Et des singularitez particulieres de l'Archipel, Constantinople, Terre-Sainte,
Egypte, Pyramides, Mumies, Deserts d'Arabie, la Meque. Et de
plusieurs autres lieux de l'Asie & de l'Afrique, remarqués depuis
peu, & non encore décrits jusqu'à présent.*

Outre les choses mémorables arriuées au dernier Siege de Bagdat,
les Cérémonies faites aux réceptions des Ambassadeurs du
Mogol: Et l'entretien de l'Auteur avec celuy du
Pretejan, où il est parlé des sources du Nil.

Par Monsieur THEVENOT.



A PARIS,

Chez LOUIS BILAINE, au second Pilier de la Grand'Salle
du Palais, à la Palme & au Grand Cefar.

M. DC. LXIII.

AVEC PRIVILEGE DV ROT.



A MONSIEUR
DE
THEVENOT,

Sur son Liure de Voyage.

*Traductio
des vers
Turques-
ques.*

IMitant les travaux d'un Oncle curieux,
Qui vient de mettre au jour par sa plume féconde,
Ce qu'on voit de plus beau sur la terre & sur l'onde,
Tu nous donnes aussi tes labours glorieux.

Ton Liure nous doit estre & cher & précieux,
Toy même pour le faire, as visité le monde;
Et ton expérience à nulle autre seconde,
Nous instruit de l'estat des hommes & des lieux:

Cependant ie m'en plains avec ta renommée,
Au récit d'un combat, dont l'Europe informée,
Sçait combien d'ennemis ton grand cœur mist à bas:

Des témoins de tes faits m'ont raconté ta gloire;
Pourquoy nous cache-tu ta valeur aux combats?
Puis qu'on doit à ton bras l'honneur de la Victoire.

LA CROIX PAITIS
*Secrétaire Interprète du Roy
en Langue Turquesque.*



THEVENOT T CHELEBINVG
HHAZRETINEH
SEFER KITABI-SINVNG VZREH
GAZELLER.

HErneh guzel ola deria iuzindeh ,
Herneh daxhi guzel ola qaradeh ;
Tchiqarup qaleminden ganimetlu ,
zehoureh gheturdy amdgian rigbetlu :
Siz oni taqlid idup , ichlerugnuz
Kerimi must bizeh baghichlar-segnuz :
Kitabugnuz cherif âlemdeh qaboul
Oladgiaq , bizeh âziz durné maqboul :
Ani tassnif itmek itchun , ghendugnuz
Varup ghezup duniaï dolachdugnuz :
Hem kablietugnuz âzim her ierden
Filhhaq rêlim eder vé her maqlouqden :
Lakin chuhretung leh ben oloup iekdil ,
Kitabden chikiaiet itrugumi bil :
Bou mezbour hhaqqi bir Kerreh eksiltti ,
Qatchan ssauchuni riwayet itti :
Neqadar duchurdung bou ssauchindeh :
Mechhourkim bilmez sah her franqistandeh ?
Danucq olan âmelunch fakhruni
Aïtti banga , hem ierarlighuni :
Pirouzi senden , n-itchun ya Pehleuan !
Ghizlersen dilauer senung Ki reuan ?

LA CROIX PAITIS.
Turq dilindeh Faranfah
Padichabinang Kiasibi beo
sergimani.

É 11

THE EVALUATION OF THREE-MEMBER CONSONANT CLUSTERS

JÁN HORECKÝ, Bratislava

As a rule, in investigating the occurrence of three-member consonant clusters only the relation between theoretical and observed occurrence of these clusters is examined. The theoretical number of three-member consonant clusters is given by the following formula for variations of the third class from the number of all consonant phonemes of the language in question:

$$V_k(n) = \frac{n!}{(n-k)!}$$

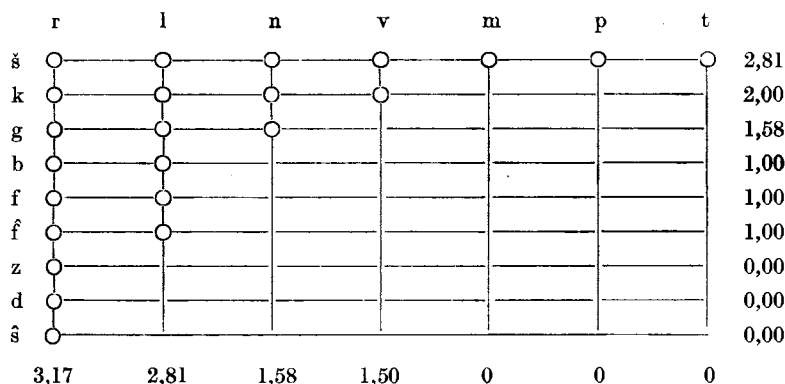
It is obvious that the relation between theoretical and observed occurrence may differ in every language, therefore it is to be considered as an important element of phonemic characterisation of the given language.

In single languages there are, as a rule, also differences between the observed occurrence of three-member initial consonant clusters, final clusters and interludes, with considerable limitations in case of initial and final clusters. It is necessary, however, to take into consideration also the fact that in a certain position (e. g. at the end of a word) some consonants are a priori inadmissible, so that they cannot occur even in three-member consonant clusters in these positions. This changes the value of n in the formula.

Even with such specification of the method there still remains a lot of vague relations between phonemes of three-member consonant clusters. It is necessary, therefore, to look for more precise methods.

A convenient method for detecting relations of two-member consonant clusters is that of W. Meyer—Eppler.¹ Here the relation between the frame phoneme and the phonemes bound to it—focus phonemes—is discussed. As it results from the scheme presented by W. Meyer—Eppler, to single basic phonemes in German a different number of consonant phonemes is bound, this number being measurable by position entropy:

¹ W. Meyer—Eppler, *Grundlagen und Anwendungen der Informationstheorie*. Berlin 1959, 335. There are also other references involved.



In fact, here several finite schemes² are dealt with, the items of which have equal relative occurrence. The degree of indetermination of this type of finite schemes can be certainly measured by Shannon's entropy which, in fact, characterises the degree of selection liberty, not that what is transmitted, but that what could be transmitted. In accordance with Ashby³ we consider it more suitable to call this degree of indetermination the variety of the given system. Thus it can be said that the variety of the system of German consonants bound to the frame phoneme /š/ is 2,81 bits, the variety of the system of consonants bound to the frame phoneme /k/ is 2 bits etc. Also the second phoneme in two-member consonant clusters may be taken for frame phoneme and then the varieties of the systems /r/ and /l/ will be 3,17 and 2,81, respectively, etc.

From the given example it may be seen that the variety may be measured only in closed systems or subsystems (finite schemes). It is therefore necessary—from the aspect of the feasibility of connecting single consonants—to decompose the whole consonant system into several subsystems. Three-member consonant clusters may be considered as one of the subsystems of this type, because the list of such clusters in single positions may be discovered relatively easily. Relations between members of such clusters may be e.g. investigated in such a way that the middle member is taken for the basic one and its relations to the preceding and following consonants are investigated.

Let us assume that the basic (middle) line *Z* involves phonemes *a*, *b*, *c*, the front line (field) *A* contains phonemes *k*, *l*, *m* and in the back line (field) *B* there are phonemes *p*, *q*, *r*, *s*, *t*, though with unequal relative occurrence. The occurrence or non-occurrence of phonemes may be plotted by means of the following matrix:

² Compare e.g. J. Zeman, *Poznání a informace* (Knowledge and Information), Prague 1962, 64, 66.

³ Compare W. Ross Ashby, *Kybernetics*, Prague 1961, 158.

A			Z		B				
k	l	m			p	q	r	s	t
3	0	0	a		1	0	1	1	0
0	3	0			1	0	1	1	0
0	0	4	10		1	1	0	1	1
4	0	0	b		1	1	0	1	1
0	0	1	5		1	0	0	0	0
0	3	0	c	3	1	0	0	1	1

From this matrix it may be found that there are following three-member consonant clusters: kap, **kar**, kas, lap, lar, las, map, maq, mas, mat; kbp, ktq, kbs, kbt, mbp; lep, les, let.

The presented matrix represents at the same time a definite system composed of several finite schemes. These are the finite schemes in the field *B*, in the field *A* according to single members of the field *Z* (horizontally), the finite scheme of the field *Z* and finite schemes of single phonemes (vertically). Basic relations for entropy may be applied very simply to the computation of their variety. The maximum variety of the field *B* with the given phoneme of the basic field will be equal to logarithm 2 of the value denoting how many phonemes have in their columns at least once another value than 0:

$$H_{\max} B_i = \lg B_i$$

The real variety of the given field will be expressed by the relation:

$$HB_i = - \sum \frac{x_i}{B_i} \lg \frac{x_i}{B_i}$$

where x_i is the number of phonemes in columns of the field *B*, belonging to a phoneme of the basic line; B_i is the number of all phonemes belonging to a phoneme of the basic line.

Similarly, following relations will hold for the field *A*:

$$H_{\max} A_i = \lg A_i$$

$$HA_i = - \sum \frac{y_i}{A_i} \lg \frac{y_i}{A_i}$$

where y_i is the number of phonemes in columns; A_i is the number of all phonemes of the field *A* with the given phoneme of the basic line.

Following relations hold for the variety of the basic vertical system:

$$H_{\max} Z = \text{ld } Z$$

$$HZ = - \sum \frac{Z_i}{Z} \text{ld } \frac{Z_i}{Z}$$

where Z is the number of phonemes in the basic line, Z_i is the relative occurrence of these phonemes.

Following relations hold for the varieties of columns in the field A :

$$H_{\max} y_i = \text{ld } y_i$$

$$Hy_i = - \sum \frac{y_{izi}}{y_i} \text{ld } \frac{y_{izi}}{y_i}$$

Following relations hold for the varieties of columns in the field B :

$$H_{\max} x_i = \text{ld } x_i$$

$$Hx_i = - \sum \frac{x_{izi}}{x_i} \text{ld } \frac{x_{izi}}{x_i}$$

In these relations the values x_i or y_i denote the number of phonemes in the given column i and those x_{izi} or y_{izi} denote the relative occurrence with single members of the line Z .

In order to be able to compare several systems, either in one language (at the beginning of a word, at the end of a word and in the middle of a word) or between several languages, it is necessary to compute the relative variety from the known relation

$$h = \frac{H}{H_{\max}}$$

This has to be done in all cases for which we have given the relations, for the basic line Z , however, in any case.

It is possible to present as an example the matrixes of three-member consonant clusters in Latin,⁴ viz. of (a) initial clusters, (b) final clusters and (c) interludes:

a) s Z r l

2	p	1	1
2	t	1	1
2	k	1	1

b) n r l Z s

0	1	0	p	1
1	1	1	k	3

⁴ The data are taken from the study of J. Horecký, *Fonológia latinčiny (Phonemics of Latin)*, Bratislava 1949.

c)	A					Z	B		
	k	s	m	n	r	l	t	s	r
	0	0	1	0	1	0	p	2	0
	0	0	1	0	1	1		0	3
	1	1	0	1	0	1	t	0	0
	0	0	0	3	0	0	k	1	1
	1	1	0	0	0	0	s	1	0
	0	0	1	0	0	0	b	1	0
	2	2	3	4	2	2	14	5	4

In the matrix (c) there are following values for the field B according to single phonemes of the line Z :

$$\begin{aligned}
 H_{\max}(p) B &= \text{ld } 2 = 1 \\
 H(p) B &= - [2/5 \text{ ld } 2/5 + 3/5 \text{ ld } 3/5] = 0,971 \\
 H_{\max}(t) B &= \text{ld } 1 = 0 \\
 H(t) B &= \text{ld } 4/4 = 0 \\
 H_{\max}(k) B &= \text{ld } 3 = 1,584 \\
 H(k) B &= \text{ld } 3 = 1,584 \\
 H_{\max}(s) B &= \text{ld } 1 = 0 \\
 H(s) B &= \text{ld } 1/1 = 0 \\
 H_{\max}(b) B &= \text{ld } 2 = 1 \\
 H(b) B &= 2(1/2 \text{ ld } 1/2) = 1
 \end{aligned}$$

Values for the field A are:

$$\begin{aligned}
 H_{\max}(p) A &= \text{ld } 3 = 1,584 \\
 H(p) A &= - [2(2/5 \text{ ld } 2/5) + 1/5 \text{ ld } 1/5] = 1,522 \\
 H_{\max}(t) A &= \text{ld } 4 = 2 \\
 H(t) A &= \text{ld } 4 = 2 \\
 H_{\max}(k) A &= \text{ld } 1 = 0 \\
 H(k) A &= \text{ld } 3/3 = 0 \\
 H_{\max}(s) A &= \text{ld } 2 = 1 \\
 H(s) A &= 2(1/2 \text{ ld } 1/2) = 1 \\
 H_{\max}(b) A &= \text{ld } 1 = 0 \\
 H(b) A &= \text{ld } 1/1 = 0
 \end{aligned}$$

The variety of the basic line will be:

$$\begin{aligned}
 H_{\max} Z &= \text{ld } 5 = 2,320 \\
 HZ &= - [5/14 \text{ ld } 5/14 + 4/14 \text{ ld } 4/14 + 3/14 \text{ ld } \\
 &\quad 3/13 + 2(1/14 \text{ ld } 1/14)] = 1,793
 \end{aligned}$$

The variety of single columns will be:

$$\begin{aligned}
H_{\text{max}}(k) &= \text{ld } 2 = 1 \\
H(k) &= 2(1/2 \text{ ld } 1/2) = 1 \\
H_{\text{max}}(s) &= \text{ld } 2 = 1 \\
H(s) &= 2(1/2 \text{ ld } 1/2) = 1 \\
H_{\text{max}}(m) &= \text{ld } 3 = 1,584 \\
H(m) &= 3(1/3 \text{ ld } 1/3) = 1,584 \\
H_{\text{max}}(n) &= \text{ld } 2 = 1 \\
H(n) &= -[1/4 \text{ ld } 1/4 + 3/4 \text{ ld } 3/4] = 0,811 \\
H_{\text{max}}(r) &= \text{ld } 2 = 1 \\
H(r) &= 2(1/2 \text{ ld } 1/2) = 1 \\
H_{\text{max}}(l) &= \text{ld } 2 = 1 \\
H(l) &= 2(1/2 \text{ ld } 1/2) = 1 \\
H_{\text{max}}(t) &= \text{ld } 5 = 2,321 \\
H(t) &= -[2/5 \text{ ld } 2/5 + 3(1/5 \text{ ld } 1/5)] = 1,922 \\
H_{\text{max}}(s) &= \text{ld } 2 = 1 \\
H(s) &= -[3/4 \text{ ld } 3/4 + 1/4 \text{ ld } 1/4] = 0,811 \\
H_{\text{max}}(r) &= \text{ld } 3 = 1,584 \\
H(r) &= -[4/6 \text{ ld } 4/6 + 2(1/6 \text{ ld } 1/6)] = 1,002
\end{aligned}$$

As it is to be seen from matrixes, the phoneme $/r/$ occurs in the matrix a , in the matrix b , as well as in the field A of the matrix c and in the field B of the matrix c . It is therefore possible to compare its values by means of relative variety:

$$\begin{aligned}
h(r_a) &= \frac{1,584}{1,584} = 1 & h(r_b) &= 1 \\
h(r_{cA}) &= \frac{1}{1} = 1 & h(r_{cB}) &= \frac{1,002}{1,584} = 0,633
\end{aligned}$$

Relations between phonemes may be investigated also with respect to their distinctive features. Convenient finite schemes may be obtained in such a way that combinations are investigated from the aspect of their individual distinctive features. If we replace the traditional markings $+$, $-$ and 0 for occurrence, non-occurrence and non-participation of the given distinctive feature by denotations a , b , c and if we denote their order by indexes 1, 2, 3, we shall get the following 27 possible clusters:

$a_1a_2a_3$	$b_1a_2a_3$	$c_1a_2a_3$
$a_1a_2b_3$	$b_1a_2b_3$	$c_1a_2b_3$
$a_1a_2c_3$	$b_1a_2c_3$	$c_1a_2c_3$
$a_1b_2a_3$	$b_1b_2a_3$	$c_1b_2a_3$
$a_1b_2b_3$	$b_1b_2b_3$	$c_1b_2b_3$
$a_1b_2c_3$	$b_1b_2c_3$	$c_1b_2c_3$

$$\begin{array}{ccc}
a_1c_2a_3 & b_1c_2a_3 & c_1c_2a_3 \\
a_1c_2b_3 & b_1c_2b_3 & c_1c_2b_3 \\
a_1c_2c_3 & b_1c_2c_3 & c_1c_2c_3
\end{array}$$

It is possible to express the occurrence of combinations of a distinctive feature more briefly by means of the following matrix:

k			l			m			Σ		
		a ₃			a ₃			a ₃			y ₁
	a ₂	b ₃		a ₂	b ₃		a ₂	b ₃		y ₂	y ₂
		c ₃			c ₃			c ₃			y ₃
		a ₃			a ₃			a ₃			y ₁
b ₁	b ₂	b ₃	b ₁	b ₂	b ₃	b ₁	b ₂	b ₃	y ₁	y ₂	y ₂
		c ₃			c ₃			c ₃			y ₃
		a ₃			a ₃			a ₃			y ₁
	c ₂	b ₃		c ₂	b ₃		c ₂	b ₃		y ₂	y ₂
		c ₃			c ₃			c ₃			y ₃

By aid of such a matrix, arranged as it is shown, the variety of the lines and columns or fields can be easily computed.

Thus the variety of the field x in the first column (i.e. with respect to the first phoneme) will be given by relation:

$$Hx_1 = \text{ld } x_1$$

The variety considering the second phoneme will be obviously smaller:

$$Hx_2 = - \sum \frac{x_{2i}}{x_2} \text{ld } \frac{x_{2i}}{x_2}$$

Similarly for the third phoneme:

$$Hx_3 = - \sum \frac{x_{3i}}{x_3} \text{ld } \frac{x_{3i}}{x_3}$$

where x is the number of items in the field x ; x_1 , x_2 , x_3 are numbers of items in the first, second and third column of the field x ; x_i is the relative occurrence of items in the column i .

Following relations hold for the variety of single combinations of items:

$$\begin{aligned}
H_{\max}y_1 &= \text{ld } y_1 \\
Hy_1 &= - \sum \frac{y_{1i}}{y_1} \text{ld } \frac{y_{1i}}{y_1} \\
H_{\max}y_2 &= \text{ld } y_2 \\
Hy_2 &= - \sum \frac{y_{2i}}{y_2} \text{ld } \frac{y_{2i}}{y_2} \\
H_{\max}y_3 &= \text{ld } y_3
\end{aligned}$$

$$Hy_3 = - \sum \frac{y_{3i}}{y_3} \lg \frac{y_{3i}}{y_3}$$

It can be seen from the matrix that it is necessary to compute Hy_1 once, Hy_2 three times and Hy_3 nine times.

As an example we will present values of the variety for compactness in three-member initial consonant clusters in Slovak.⁵

Distinctive feature of compactness in the first phoneme is given only to those three-member consonant clusters which begin with /š/ (pronounce sh). Here following combinations and values of their variety are possible:

š

a	a	a			1
a	a	b		3	2
a	a	c			0
a	b	a			1
a	b	b	7	4	3
a	b	c			0
a	c	a			0
a	c	b		0	0
a	c	c			0

Out of which:

$$H(\text{š}) x_1 = \lg 1 = 0$$

$$H(\text{š}) x_2 = - [3/7 \lg 3/7 + 4/7 \lg 4/7] = 0,985$$

$$H(\text{š}) x_3 = - [3/7 \lg 3/7 + 2/7 \lg 2/7 + 2(1/7 \lg 1/7)] = 1,843$$

Three-member consonant clusters beginning with /s/, /z/, /f/, /v/ have distinctive feature of non-compactness in the first phoneme. The distribution may be seen in the following matrix:

	s			z			f			v			
baa			3			4			1			1	9
bab		12	9			8		3	2		3	2	17
bac			0			0			0			0	0
bba			4			3			4			3	14
bbb	27	15	14	21	13	10	13	10	6	13	10	7	37
bbc			0			0			0			0	0
bca			0			0			0			0	0
bc b		0	0		0	0		0	0		0	0	0
bcc			0			0			0			0	0
	27	27	27	21	21	21	13	13	13	13	13	13	77
													77
													77

⁵ In Slovak three-member initial consonant clusters are the most illustrative ones. There are not many three-member final consonant clusters in Slovak. As for interludes, there the situation is more complicated and special investigations in this field will be necessary. It must be pointed out that in the list of three-member consonant clusters also prefixal of the type vkročit (fkročit), vzlet etc. are involved.

The variety of individual columns has following values according to phonemes:
For the phoneme /s/:

$$H(s) x_1 = \text{ld } 27/27 = 0$$

$$H(s) x_2 = - [12/27 \text{ ld } 12/27 + 15/27 \text{ ld } 15/27] = 0,991$$

$$H(s) x_3 = - [14/27 \text{ ld } 14/27 + 9/27 \text{ ld } 9/27 + 4/27 \text{ ld } 4/27 + \\ + 3/27 \text{ ld } 3/27] = 1,780$$

For the phoneme /z/:

$$H(z) x_1 = \text{ld } 21/21 = 0$$

$$H(z) x_2 = - [13/21 \text{ ld } 13/21 + 8/21 \text{ ld } 8/21] = 0,975$$

$$H(z) x_3 = - [10/21 \text{ ld } 10/21 + 2(4/21 \text{ ld } 4/21) + 3/21 \text{ ld } 3/21] = 1,823$$

For the phoneme /f/:

$$H(f) x_1 = \text{ld } 13/13 = 0$$

$$H(f) x_2 = - [10/13 \text{ ld } 10/13 + 3/13 \text{ ld } 3/13] = 0,771$$

$$H(f) x_3 = - [6/13 \text{ ld } 6/13 + 4/13 \text{ ld } 4/13 + 2(13 \text{ ld } 2/13) + 1/13 \text{ ld } 1/13] = \\ = 1,739$$

For the phoneme /v/:

$$H(v) x_1 = \text{ld } 13/13 = 0$$

$$H(v) x_2 = - [10/13 \text{ ld } 10/13 + 3/13 \text{ ld } 3/13] = 0,771$$

$$H(v) x_3 = - [7/13 \text{ ld } 7/13 + 3/13 \text{ ld } 3/13 + 2/13 \text{ ld } 2/13 + 1/13 \text{ ld } 1/13] = \\ = 1,663$$

The variety of the sum of all four phoneme is:

$$Hx_1 = \text{ld } 77/77 = 0$$

$$Hx_2 = - [51/77 \text{ ld } 51/77 + 26/77 \text{ ld } 26/77] = 0,922$$

$$Hx_3 = - [37/77 \text{ ld } 37/77 + 17/77 \text{ ld } 17/77 + 14/77 \text{ ld } 14/77 + \\ + 9/77 \text{ ld } 9/77] = 1,798$$

It is possible to compare only varieties of equal order:

$$h(s_2) = \frac{0,991}{1,000} = 0,991$$

$$h(z_2) = \frac{0,975}{1,000} = 0,975$$

$$h(f_2) = \frac{0,771}{1,000} = 0,771$$

$$h(v_2) = \frac{0,771}{1,000} = 0,771$$

The relative variety of the third order has following values:

$$h(s_3) = \frac{1,780}{2,000} = 0,890$$

$$h(z_3) = \frac{1,823}{2,000} = 0,911$$

$$h(f_3) = \frac{1,739}{2,000} = 0,869$$

$$h(v_3) = \frac{1,663}{2,000} = 0,831$$

The variety of individual combinations in lines has following values:
For combinations with y_1 :

$$H(b_1) = - [27/77 \text{ ld } 27/77 + 21/77 \text{ ld } 21/77 + 2(13/77 \text{ ld } 13/77)] = 1,907$$

For combinations with y_2 :

$$Hb_1a_2 = - [12/26 \text{ ld } 12/26 + 8/26 \text{ ld } 8/26 + 2(3/26 \text{ ld } 3/26)] = 1,753$$

$$Hb_1b_2 = - [15/51 \text{ ld } 15/51 + 13/51 \text{ ld } 13/51 + 2(10/51 \text{ ld } 10/51)] = 1,944$$

For combinations with y_3 :

$$Hb_1a_2a_3 = - [4/9 \text{ ld } 4/9 + 3/9 \text{ ld } 3/9 + 2(1/9 \text{ ld } 1/9)] = 1,752$$

$$Hb_1a_2b_3 = - [9/17 \text{ ld } 9/17 + 4/17 \text{ ld } 4/17 + 2(2/17 \text{ ld } 2/17)] = 1,705$$

$$Hb_1b_2a_3 = - [2(4/14 \text{ ld } 4/14) + 2(3/14 \text{ ld } 3/14)] = 1,982$$

$$Hb_1b_2b_3 = - [14/37 \text{ ld } 14/37 + 10/37 \text{ ld } 10/37 + 7/37 \text{ ld } 7/37 + 6/37 \text{ ld } 6/37] = 1,881$$

Relative varieties for combinations in the second order are:

$$hb_1a_2 = \frac{1,753}{2,000} = 0,876$$

$$hb_1b_2 = \frac{1,944}{2,000} = 0,972$$

Relative varieties for combinations in the third order are:

$$hb_1a_2a_3 = \frac{1,752}{2,000} = 0,876$$

$$hb_1a_2b_3 = \frac{1,705}{2,000} = 0,854$$

$$hb_1b_2a_3 = \frac{1,982}{2,000} = 0,991$$

$$hb_1b_2b_3 = \frac{1,881}{2,000} = 0,940$$

In a similar way it is possible to compute the variety also for other distinctive features and by means of relative variety it is possible to evaluate the degree of utilization of single distinctive features in both three-member initial consonant clusters and other positions, as well as between several languages.

Thus it has been demonstrated that variety is a more precise instrument of phonemic characterisation than is the relation between theoretical and observed occurrence of variations.

EUPHONY IN ABAY KUNANBAYEV'S POETRY

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When analysing a piece of poetry from different aspects of its form, the analysis of the phonic aspect will mostlikely cause greatest difficulties. Rhyme and alliteration become apparent at first sight. Nevertheless, other phonic phenomena occurring in the verse have a significant part in aesthetic qualities of the poem. They were discussed by J. Mukařovský,¹ who (in conformity with O. Hostinský) finds the substance of this phenomenon in the regular recurrence and alternation of certain phonemes. The determination of phonemes participating in such a euphonic phenomenon depends to a great extent on the receptiveness of the research-worker, which means introducing elements of subjectivism into the method.

This article presents an attempt to build up a method for analysing the phonic aspect of a poem on a quantitative principle, which will be demonstrated on the analysis of poems by the classic of Kazakh literature, Abay Kunanbayev. This method offers only relative results, deviates, however, from subjectivity, and gives a possibility of further generalization.²

We shall proceed from the following basic presumption: *Any kind of euphony in a poem is realized by one or more phonemes, appearing in a place, where in the identical utterance which would not be striving for euphony there is a greater probability of a different phoneme occurring.* The term euphony includes therefore rhyme and alliteration which will be subject to an analysis together with other phonic means of the poem. If we set the task of presenting a general characteristic of the phonic aspects of a poem, it is necessary to regard all phonic means as a whole; their mutual connection seems, after all, to be quite evident. On the other hand, particularly such an element as rhyme, proves the correctness of our original presumption: in the case of rhyme the same phoneme or group of phonemes appear there where, in a non-rhymed utterance, there would be a greater probability of other phonemes occurring. An ideal fulfilment of our supposition might be obtained by comparing

¹ J. Mukařovský, *Kapitoly z české poetiky III*, Praha 1948, p. 15—109.

² I am indebted for valuable advices and remarks to Mr. G. Altmann, R. Štukovský and S. Segert.

the frequencies of phonemes in poetry with those in an utterance which we might safely consider as not striving for the realization of phonic phenomena which in the present paper we had summed under the general term euphony. If, however, we indicated a certain utterance in advance as non-euphonic, we would hereby be acting against our own methodical request for objectivity. As regards the solution of our task—i.e. the analysis of the phonic aspect in Abay Kunanbayev's poetry—the detection of such an utterance from the second half of the nineteenth century would constitute an impracticable task. For that reason we proceeded as follows:

We have ascertained the relative frequency of individual phonemes from a population consisting of 45 poems chosen at random from Abay's work³ amounting to 23 638 phonemes. All relative frequencies acquired by this method form a system which is almost balanced, which means that in case we enlarged our population by further poems and thus increased the total number of phonemes, the probabilities would not undergo substantial change. Subsequently we can draw a comparison between these relative frequencies of the population and the frequencies of phonemes within the individual poem which are part of the population, namely so that we theoretically expect the same distribution of phonemes in each sample of our population (i.e. in each poem) as in the whole population.

On the basis of the relative frequency of a given phoneme in the population $P_i = \frac{F_i}{N_i}$, where F_i represents the absolute frequency of the phoneme in the population and $N_i = \sum_{i=|a|}^{|z|} F_i$, and on the basis of the length of poem given by the number of phonemes $n_{i,j} = \sum_{i=|a|}^{|z|} f_{i,j}$, the expected number of occurrences of a given poem $e_{i,j}$ can be computed according to the formula

$$e_{i,j} = P_i n_{i,j}.$$

In all these formulae i represents the phoneme and j the given poem.

As to individual phonemes in individual poems the following cases may occur: 1. $e_{i,j} < f_{i,j}$, 2. $e_{i,j} = f_{i,j}$, 3. $e_{i,j} > f_{i,j}$, where $f_{i,j}$ indicates the number of occurrences of a given phoneme in a given poem. With regard to our basic presumption we shall pay attention to the first case, where the number of actual occurrences of a given phoneme in a poem is larger than the expected number. The positive difference $d_{i,j} = f_{i,j} - e_{i,j}$ in these cases thus indicates the number of those occurrences of a given phoneme which we suppose to be participating in the euphonic phenomena. It is evident that this „surplus“ of one phoneme in a poem must be compensated by the „shortage“ of some other phoneme.

³ Abay Kunanbayev, *Shygharmalarynyng tolyq zhyjnaghy*, 1, 2 tom, Almaty 1954. (The Roman numeral in the quotations indicates the volume, the Arabic numeral indicates the page.)

Then $\sum_{i=a}^{|z|} d_{i,j} > 0$, or the sum of all positive differences in a given poem indicates the total characteristics of euphony in a poem. At this point we find it necessary to point out the limitations of this method, as it is well known that also different phonemes with some phonologic feature in common participate in the euphony. We also consider this limitation when speaking of the relativeness of our results. With regard to this relativeness, neither do we consider the confidence intervals for the values $e_{i,j}$, and in the samples we suppose the same distribution of cases, where $f_{i,j}$ surpasses the value $e_{i,j}$ only incidentally.

The results of this analysis are presented in Table No. 3, where the translations of Russian classics by Abay which also form a part of our population are designated by mark*). Table No. 4 then offers the relative frequencies of phonemes in the population (P_i), the totals of occurrences of a given phoneme which are considered euphonic $\sum_{j=1}^{45} d_{i,j}$, and the ranks for both these values.

Due to the fact that as yet no analysis of phonic structure of the Kazakh language is available, we drew upon current handbooks,⁴ with certain limitations: in order to make the work with our statistical inquiries simpler, we considered the grapheme y in the Kazakh language merely bilabial consonantic element $/w/$ including also the cases when it is followed by the vowel $/u/$ or $/ü/$. On the contrary, the grapheme π was decomposed into the phonemes $/i/$ or $/y/$ plus $/j/$, and each of them was considered separately.

The ascertainment of the dependence of the $\sum_{j=1}^{45} d_{i,j}$ on the relative frequency of a phoneme in the population was carried out by means of the rank correlation coefficient $\rho = 0,972$. Consequently, it is the phonemes of a higher frequency that take greater part in euphonic phenomena. An objection might be raised as to this conclusion resulting from the basic presumption from which we proceeded in this study. We tried to verify this conclusion by analyzing the rhyme. Such a process does not interfere with the methodical request for objectivity, because, in the case of a rhyme, we are concerned with an obvious and unconcealed euphonic phenomenon. In this case we shall present merely the results of our rhyme analysis of Abay's poems: In another population of 30 poems, we ascertained the frequencies of phonemes in complete rhyme correspondences, that is to say, the occurrence of the same phoneme in the same position within a sequence of final phonemes of two or more rhyming verses. The dependence of the relative frequencies of these phonemes in rhymes on the relative frequencies of phonemes in Abay's poems in general (see values P_i in Table No. 4), can be expressed by the rank correlation coefficient. We

⁴ Kh. Kh. Makhmudov, *Kratkiy ocherk grammatiki kazakhskogo yazyka*, in: Kh. Makhmudov, G. Musabayev, *Kazakhsko-russkiy slovar'*. Alma-Ata 1954, p. 523—525; *Qazirgi qazaq tili*, Almaty 1954, p. 95—168.

ascertained the coefficient $\varrho_k = 0,848$ for the consonants, and $\varrho_v = 0,953$ for the vowels. This high degree of correlation confirms, as regards Abay's poetry, the correctness of the basic presumption, from which we proceed in the analysis of euphony, and at the same time confirms the correctness of the conclusion made from the correlation of the values $\sum_{j=1}^{45} d_{i,j}$ and P_i . As far as vowels are concerned, this correlation is almost complete, the order being different only in the case of the vowels /i/ and /y/.

When examining the order of the above mentioned values of the consonants according to the manner of articulation, namely by dividing each row into quarters, we discover most of the fricatives to be in the third and in the fourth quarter, all affricates in the fourth quarter, and most of the occlusives in the first and second quarters. The results are presented in Table 1. We wish to point out that the orders in this table correspond to registration numbers in Table 4.

Table 1

Distribution of the order of consonants according to the manner of articulation in quarters

Quarter	Fricatives	Affricates	Occlusives
1	3/3	0/0	3/3
2	1/1	0/0	5/5
3	4/5	0/0	2/1
4	4/4	2/2	0/0

The figure above the fraction line represents the number of phonemes according to P_i in the given quarter, the figure below the fraction line according to $\sum_{j=1}^{45} d_{i,j}$. The differences between both these figures in the case of fricatives and occlusives in the third quarter are due to the fact that the margin between the second and the third quarter is represented by a phoneme itself (the total number of consonants being 25, i. e. an odd number). From the view-point of the manner of articulation both these rows do not present substantial differences.

More interesting results can be obtained by a similar investigation of both the rows of consonants divided into voiced and voiceless, as illustrated by the results given in Table 2.

We have found out, by means of the correlation coefficient, a large dependence of „euphonic consonants“ on the relative frequency P_i . This correlation, however, is not absolute, and its coefficient is not equal to 1. We suppose that a partial explanation of this difference is offered by Table 2. The differences of voiced and voiceless

consonants in the first and in the second quarters show that the voiced consonants have a tendency to be more utilized in euphonic phenomena than their voiceless counterparts.

A similar analysis from the viewpoint of the place of articulation brought no results.

Table 2
Distribution of the order of consonants according to sonority in quarters

Quarter	Voiceless	Voiced
1	4/2	2/4
2	1/3	5/3
3	1/1	5/5
4	5/5	1/1

Table 3
The correlation table of the length of a given poem (in the number of phonemes) $n_{i,j}$, and of the total of the positive differences between the expected and the observed frequencies in a poem $\sum_{i=|a|}^{|z|} d_{i,j}$.
**) indicates a translation*

Poem	$n_{i,j}$	$\sum_{i= a }^{ z } d_{i,j}$	Poem	$n_{i,j}$	$\sum_{i= a }^{ z } d_{i,j}$
II 128	107	25,73	I 121	453	44,77
II 142	111	22,16	I 178	465	66,84
I 14*)	115	28,51	I 69	501	70,26
II 134	159	38,97	I 176	535	84,43
II 106	160	32,17	I 185*)	545	45,64
II 140	173	26,74	II 49	550	80,29
I 123	214	43,37	I 204	555	66,90
I 171*)	215	28,02	I 86	621	79,00
II 108	233	61,17	I 131	645	93,71
II 87	283	39,82	II 70*)	658	58,63
I 143	301	38,09	I 165	675	64,57
I 220	315	33,63	II 143	721	77,42
II 112	324	48,85	II 66*)	745	64,99
II 103	329	52,75	II 78*)	838	88,80
I 206	338	43,89	I 20	838	94,86
II 90	340	55,90	I 38	856	74,13
I 68	364	45,48	I 102*)	909	58,78
I 211	371	75,49	I 115*)	1024	103,75
II 46	374	51,95	II 9	1094	55,90
II 127*)	376	38,51	II 18*)	1195	78,94
II 107*)	434	54,90	I 42	1296	130,81
I 161	440	60,01	I 35	1400	152,28
I 34	443	74,36			
			Σ	23638	2756,17

Our method of characterizing the phonic aspect does not enable us to make an objective decision as to whether a casually chosen phoneme which is part of a context participates in the forming of any euphonic phenomenon, or not. However, we intend to trace the general tendency, i. e. we are trying to give a general picture of the distribution of „euphonic phonemes“ in Abay's verse, and thus we can obtain

Table 4

The correlation table for computing of the dependence of order according to the relative frequency of the phoneme P_i on the order according to $\sum_{j=1}^{45} d_{i,j}$

Phoneme	P_i	$\sum_{j=1}^{45} d_{i,j}$	Rank according to P_i	Rank according to $\sum_{j=1}^{45} d_{i,j}$
n	,0620	117,91	1	2
r	,0500	109,90	2	5
t	,0490	143,13	3	1
s	,0478	115,87	4	3
l	,0472	111,83	5	4
q	,0438	95,64	6	10
d	,0356	109,07	7	6
m	,0354	97,18	8	9
j	,0316	108,42	9	7
k	,0305	101,68	10	8
b	,0292	91,70	11	13
p	,0236	92,24	12	12
ž	,0228	63,22	13	16
ng	,0199	93,07	14	11
z	,0181	73,45	15	14
gh	,0163	62,95	16	17
š	,0133	53,94	17	18
w	,0113	67,62	18	15
g	,0096	45,13	19	19
h	,0005	5,36	20	21
v	,0003	5,61	21	20
f	,0002	3,23	22,5	23
č	,0002	3,66	22,5	22
c	,0001	2,94	24,5	24
h	,0001	1,63	24,5	25
a	,1266	215,21	1	1
e	,0801	169,71	2	2
y	,0716	149,10	3	4
i	,0540	150,17	4	3
o	,0243	74,75	5	5
ö	,0167	64,06	6	6
ü	,0118	64,01	7	7
ö	,0102	57,79	8	8
ä	,0063	34,99	9	9
Σ	1,0000	2756,17	—	—

satisfactory results by the following method of investigation: We find out the syllables containing all occurrences of a euphonic phoneme of which we know that only a certain percentage of its occurrences forms euphonic phenomena in the given poem. Nevertheless, in case we proceed in our investigation to a larger number of verses, and receive generalizing result, the required tendency will undoubtedly appear. The results of such investigations carried out in poems of our population, written in an eleven-syllable verse, are given in Table 5.

Table 5

Distribution of phonemes partaking in the euphonic composition of a poem within individual syllables in the eleven-syllable poems from the investigated population

Syllable Poem	1	2	3	4	5	6	7	8	9	10	11
I 102	36	53	58	35	49	44	46	51	51	49	68
I 20	32	30	35	37	30	29	24	36	26	57	64
I 158	29	17	27	26	22	28	26	27	23	23	17
I 123	15	11	13	10	10	11	9	12	13	15	15
II 171	11	13	11	12	10	9	11	15	14	8	3
II 142	6	10	4	7	6	6	8	6	7	8	7
II 128	3	6	6	5	5	2	3	5	7	6	10
I 34	31	23	21	21	19	19	20	23	21	27	35
II 49	36	38	26	39	26	28	37	26	31	23	39
Σ	202	201	201	192	177	176	184	201	193	216	258

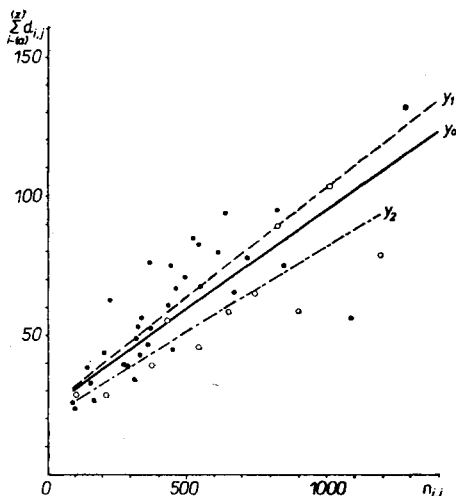
The totals for individual syllables prove that the verses have no regular distribution of „euphonic phonemes“. Most of them fall on the last syllables of the verse which, when considering the presence of a rhyme, is quite comprehensible. It seems that the decrease in the number of these phonemes which takes place after the fourth syllable (particularly between the fourth and the seventh syllable) is in connection with the metric segmentation of the verse.⁵

The values $\sum_{i=|a|}^{|z|} d_{i,j}$ represent the second group of results of our analysis (Table 3). It is obvious that the value of this figure depends on the manner of rhyming and on the quantity of alliterations. In the same time the correlation analysis illustrates the dependence on the length of the poem. The correlation coefficient between the length of a poem $n_{i,j}$ and $\sum_{i=|a|}^{|z|} d_{i,j}$ equals to $r = 0,693$. This correlation is given on the graph simultaneously with regression lines: y_0 for Abay's own works and at the same time for his translations, y_1 for his own poems, and y_2 for his translations.

⁵ During the investigations of the metric structure of Abay's eleven-syllable verses I discovered the constant dieresis after the seventh syllable of the verse.

These regression lines correspond to the following coefficients of regression: $b_0 = 0,0701$, $b_1 = 0,0787$, $b_2 = 0,0617$.

The difference in regression between Abay's own works and the translations



illustrates that in the translations the euphonic aspect is becoming somewhat less important. It is necessary to emphasize that this tendency cannot be applied to his translations as a rule, which is obvious from the graph. The fact that some of the poems have a lower value of $\sum_{i=1}^{|z|} |d_{i,j}|$ than

other poems does not justify us to consider the former one less perfect in form. Such a comprehension of this value would lead to a serious misjudgement—not mentioning the fact that, for the sake of analysis, we are abstracting a single element from an otherwise indivisible complex of the poem. We suppose that this figure should rather serve the tracing of a general phonic

characteristic of the entire work written by a certain author and to its comparison with the works of other authors.

We have not, as yet, succeeded in finding further dependences of the value of $\sum_{i=1}^{|z|} |d_{i,j}|$, on the contents or on other formal elements etc.

THE BASIC CHARACTERISTICS OF THE CATEGORY OF INDIVIDUAL LINGUISTIC STYLE

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The development of the aspects of individual style shows that this category covers a wide range of meanings. Sometimes it is being understood in a wide sense, when used in the meaning of the functional, objective linguistic style, as e. g. the artistic style. In such instances the artistic style is defined by means of the attributes of the individual linguistic style as ornate, elaborate, empty, clear, rapid, animated, lucid, etc. Sometimes again, the category of individual linguistic style is understood in a limited sense, when it confines itself only to the style of prominent personalities, as e. g. to the style of writers, orators, scientists, etc. In other instances the expression „individual linguistic style“ is used in the meaning of the style of the literary work of art as a whole, or even generally in the sense of any discourse whatever.¹

¹ In what an indiscriminate way the term style is being understood in the older studies dealing with this subject may sufficiently be illustrated by the monograph *Modern Prose Style* by Bonamy Dobrée (7th ed., Oxford, 1956). The study gives the author's view upon the psychological and sociological interpretation of style, discussing alternately the individual linguistic style, the style of the literary work as well as the style of the different genres of prose, without distinguishing more precisely among these categories in each special case. Such an unsystematic approach to problems of style is fairly characteristic for the older studies on style.

Taken as a whole, the development of the various theories concerning style since the beginning of the 20th century has shown two main tendencies. The first is marked by a considerable degree of unsystematic, subjective approach to the study of stylistic phenomena, the other tendency is characterized by a search for an objective, scientific and systematic approach of stylistic phenomena. This second tendency is represented in Europe mainly by the Russian linguistic school, further by the linguistic school of Geneva (Ch. Bally, *Traité de stylistique française*, Ch. A. Sechehay and others), later on by the linguistic school of Prague, which expounded its theoretical views mainly in the two miscellanies *Spisovná čeština a jazyková kultura* (Praha, 1932) and *Čtení o jazyce a poesii* (Praha, 1942).

Even though Bally's theory of French style—a classic of its kind—laid the basis for a systematic study of style, later researches chose the way of „the lesser resistance“ and, as J. Marouzeau points out, especially the individual style of the author was studied without any theoretical motivation. J. Marouzeau therefore postulates to study in detail and systematically the different stylistic phenomena. (*Précis de stylistique française*, 2nd ed., Paris, 1946, p. 16).

Under these circumstances one of the main problems regarding style is to determine unambiguously the exact meaning of the term „individual linguistic style“ and to establish its relations to other style categories. These are the problems to be dealt with briefly in this paper.

a) First of all we must determine the character of the individual linguistic style, the style of the originator of the discourse and on the ground of this determination we may decide whether the category is linguistic or literary. Individual linguistic style is an attribute of any written or spoken discourse of every speaking individual and constitutes a natural, essential part of all discourses—not only literary and artistic, but of discourses spoken, professional, scientific, as well as of journalistic and miscellaneous prose. It is therefore unambiguously a category of language. On the other hand we may consider as a category of literature the individual literary (artistic) style of an author, which comprises not only the linguistic component, but all the other components of a literary work of art, as e. g. composition, contents, etc. These facts present criteria according to which we can determine to which special branch of science the study of the given categories belongs. The study of the individual linguistic style concerns linguistics, the study of the individual literary (artistic) style is a subject of literary science.²

b) It seems to be apt from the point of view of both theory and methodology to distinguish further between the individual linguistic style and the individual (personal) language of the author, though both categories are closely related and mutually interrelated. The individual language of the author represents the complex of all applied linguistic means (of the different levels of language), without regard to the function of the linguistic means and without regard to the relation with the linguistic component and the other components of the discourse. And it is precisely this relation and these functions of the linguistic means which form the essence of the individual style of an author and of the style of a discourse as such. Linguistics deals both with the study of individual language and of individual linguistic style, but the aspect and the methods of investigation of the two are different. While in analyzing the language of the author we use predominantly the analytical method, in studying the style we prefer the comparative method, with special emphasis on the manysidedness of the problem and on the function of the different stylistic means.³

² Cf. the Czech discussion of stylistic problems and of the theory of style (*Slovo a slovesnost*, annual series XV and XVI, 1954—55) and the Soviet discussion in *Voprosy yazykoznanya*, Moskva 1954—55). See also E. Riesel, *Studien zu Sprache und Stil von Schillers „Kabale und Liebe“* (Moscow, 1957).

³ Cf. K. Horálek, *Počátky novočeského verše* (Praha, 1957); L. Doležel, K. Hausenblas, *O sootnosheniji poetiki i stilistiki*, Poetics, Warszawa 1961, p. 39—52.

Recently, mathematical and statistical methods have been applied in investigations of stylistic phenomena. P. Guiraud used with success statistical methods in studying individual styles of French symbolic poets (Baudelaire, Apollinaire, Claudel, Rimbaud, Valéry, Mallarmé) in his work *Les caractères statistiques du vocabulaire* (Paris, 1954). Mathematical methods in the analysis

c) As the language spoken by the author in his daily intercourse may differ considerably from the language in which his works are written, B. Havránek proposed to distinguish between „the linguistic style of the author's work“ and „the style of his personal speech“. Such differentiation is justified also by the inclusion of the given categories within higher categories. While the individual linguistic style of the author belongs to the artistic style and is ruled by its laws, the style of the author's personal speech belongs to colloquial style. We could differentiate in the same way between the individual linguistic style of professional (scientific) discourses of scientists, belonging to the professional (scientific) style and the style of the personal speech of the expert or scientist, belonging to colloquial style.⁴

d) It is equally important to trace the relations between the category of the individual linguistic style and categories of a „higher“ or „lower“ order, since individual linguistic style can manifest itself only within the given categories. The individual linguistic style of an author is being realized in actual discourses: literary works of art, journalistic and miscellaneous writings, technical (professional) papers, etc. Each actual discourse is always being classified within the pertinent type of style of the discourse. Consequently, the laws of the particular literary genre must always be observed, whether it be artistic, scientific, technical, journalistic or otherwise.⁵

The relation of the individual linguistic style to the styles of special literary genres was formulated in a definition of the individual linguistic style by Darovec in his study of the style of L. Štúr's rhetorical prose and the prose of his political writings. According to Darovec the essential general feature of an author's style is the result of the interrelation between the character of applied stylistic means in its entirety and the special properties of stylistic types.⁶

e) At present we have no exhaustive definition of the category of individual linguistic style. The divergencies as regards terms relating to particular stylistic phenomena are so well-known that they need not be mentioned here.⁷ P. Guiraud, when criticizing the commonly accepted definition of style, which conceives style

of a literary work of art were employed by N. I. Žinkin, R. Abernathy, Th. A. Sebeok, I. Fónagy, A. Moles, and others. Cf. „Poetics, Poetyka“ from the Warsaw Conference, copyright 1961.

⁴ Cf. B. Havránek, *Jazyk Máchův* (In: *Torso a tajemství Máchova díla*, Praha, 1938, p. 279 to 331); *Lidový podklad jazyka v Babičce Boženy Němcové* (Slovo a slovesnost, IX, 1929, p. 137).

⁵ H. Kurkowska and St. Skorupka suggest in their study *Stylistika polska* (Warsaw, 1959) an interesting classification of stylistic phenomena. On p. 18 of the quoted study we find the following criteria of classification: 1. Individual styles (to this category belong the style of the author and the style of the work) and 2. type-styles (including the style of literary forms, literary genres and literary types—these latter are, according to the authors, the domain of poetics). This work, owing to its character of a textbook—does neither enter into full particulars of the mentioned categories, nor does it treat their interrelations.

⁶ Cf. M. Darovec, *K forme Štúrových rečníckých prejavov* (Sborník štúdií a prác Vysokej školy pedagogickej v Bratislave, vol. I, 1957, no. 4, p. 162).

⁷ F. Miko employs in his study *Sloh* (Bratislava, 1955, 17 pages, University Textbooks Series)

as a phenomenon dependent upon the choice of the means of expression and upon the personality of the speaker (notice the broad sense in which the category „style“ is understood in the quoted definition), postulates above all the elaboration of a typology of style.⁸

In Czechoslovakia L. Doležel voiced a similar demand.⁹

Some well-known definitions of style (as e. g. Buffon's definition „le style c'est l'homme“) are expressed from the point of view of sociology-psychology, they are idealistically subjectivistic definitions, reducing style-forming factors to individual, subjective factors located in the psychic centres where the individual style is said to originate. According to the theory of style based on psychology style is a creative individual activity, which preserves the language (K. Vossler, L. Spitzer).¹⁰ It is obvious that it is impossible to maintain these one-sided theories, negating completely the objective, socially given style-forming factors. Even if we acknowledge the importance of subjective style-forming factors, especially as regards the category of individual linguistic style, they must not be overestimated and considered as the essence of any stylistic phenomenon whatever. It must be emphasized further that style cannot be reduced either to individual linguistic style or to the style of a literary work of art, since stylistic phenomena are—in a rather complicated way—interrelated, forming a certain hierarchy and ruled by different norms at different periods. Of course we cannot disregard the dialectic relation of the subjective and objective style-forming factors, which form the core of the category of individual linguistic style.

The structural character of a linguistic discourse is being emphasized in the well-known Czech definition of style: „Style is a singularizing organization of the linguistic structural whole (entirety), which is formed by every given linguistic discourse.“ The term „singularizing organisation“ again emphasizes the personal elements and moments of style, especially as regards the style-forming activity of the individual linguistic style.

The contribution of this definition to the problem of style is in that it refers to the system and the structure of the discourse. This approach leads gradually to the discovery of objective laws in the domain of stylistic phenomena, in the domain of linguistic style.

V. V. Vinogradov's interesting definition also approaches artistic style emphasizing the definite system of the means of expression and stressing the importance of the term „personal“ style of the author, seeing the basic characteristic of this category in more or less stable or transitory peculiarities. N. G. Pospelov suggests to employ for this category the term „personal speech of the author“ (cf. R. V. Komin's report in *Vestnik Moskovskogo universiteta*, 1956, no. 4, p. 151).

⁸ Cf. P. Guiraud, *La stylistique* (Paris, 1954, p. 107 f.).

⁹ See L. Doležel, *O stylu moderní české prózy* (Praha 1960, p. 15 f.).

¹⁰ Cf. R. Grebeníčková, *K diskusi o uměleckém stylu*, *Československá rusistika* 1962, VII, no. 3, p. 152–159.

world-outlook of the writer for the formation of individual style. V. V. Vinogradov believes the world-outlook of the writer to be the unifying element of individual style. F. Trávníček disagrees with Vinogradov as regards the latter's opinion of the world-outlook of the writer as the basic style-forming factor.¹¹ The attitude of V. I. Sorokin showed how easily one could form erroneous conclusions when investigating these rather complicated problems of style. Though V. I. Sorokin's characteristic of an author's style is on the whole acceptable, he nevertheless reduces it finally to „svoyeobraznaya rechevaya manera pisatela“ — „the peculiar linguistic mannerism of the author.“ The category of the individual linguistic style is much too complicated to be levelled to some purely mechanical, automatized modes of expression, usages or mannerisms—to which the above characteristic of Sorokin might lead.¹²

In a paper about the language of art-literature V. D. Levin discusses the question of individual linguistic style in art-literature.¹³ According to Levin, individual linguistic style depends upon the choice, the creative adaptation and organization of material, it is conditioned by the relation of the chosen stylistic means and the contents of the literary work of art.¹⁴

The category of the individual linguistic style is being determined by the opposition between 1. the general (normative) in the appropriate functional (objective) linguistic style and 2. the specific, particular (subjective) in the individual style. Subjective factors are directed against the uniformity and the norms of the higher objective factors. We understand individual linguistic style as resulting from the dialectic antithesis and tension between general, normalizing tendencies on the one hand and individualizing, subjectivizing tendencies on the other. It is a phenomenon resulting as a consequence of contradictorily operating forces. This explains why the individual linguistic style is a rather involved problem, being the reflection of the individual, of the personality (as opposed to the general), which is nevertheless firmly rooted in the given age, the given epoch and thus cooperating in the creation of style of that age, that epoch.

In the thirties, the so-called Prague Linguistic School distinguished between two kinds of style-forming factors, between objective and subjective style-forming factors¹⁵ and postulated the functional aspect in the investigation of stylistic phenomena.

We shall consider which style-forming factors have subjective character and

¹¹ See F. Trávníček, *O jazykovém slohu* (Praha, 1953, p. 41).

¹² See V. I. Sorokin, *Teoriya literatury* (Moscow, 1960, p. 163–164).

¹³ Cf. V. D. Levin, *Jazyk chudozhestvennoy literatury* (Voprosy kultury rechi, Moscow, 1960, p. 79).

¹⁴ J. Marouzeau in his *Précis de stylistique française* (Paris, 1946) also emphasizes the importance of choice of linguistic means in style. See also the entry „style“ in the Russian translation of J. Marouzeau's work (*Slovar' lingvisticheskikh terminov*, Moscow, 1960, p. 298).

influence the features of the individual linguistic style of the author in a decisive way. They are e. g.: Personal experiences of the author of the discourse (any speaker, author, scientist, orator, publicist, journalist etc.), his world-outlook, his education, his reading, employment, age, his degree of mastery of the literary language (word-stock and grammar), his knowledge of non-literary levels (geographic dialects, social dialects, slangs etc.), his command of foreign languages, personal special likings and inclinations (predilection for humour, satire etc.), his preference for an expanding or a concise style, mode of expression, etc. Apart from the psycho-physical traits of the author of the discourse, his temperament and his intellectual and emotional attitude at the time of the composition—the influencing factors of the stylistic character of the discourse are given by the attitude of the author of the discourse to the object of the discourse, to the given subject, to the reader or listener to whom the discourse is addressed. The general stylistic character of the discourse is being determined also by the intentions or rather the artistic aims which the author pursues.

Here we abut on the objective style-forming factors which have an objective validity, are independent of the author, are socially conditioned and binding. Such are e. g. a special form of discourse (a literary form, genre and stylistic type, style-formation, etc.), the milieu (private and public) in which the discourse is realized, the circumstance whether the discourse is spoken or written, the presence or absence of the addressee, the preparedness or unpreparedness of the discourse, its form (dialogue or monologue), the state of development of the appropriate functional style in which the discourse or the utterance are being realized, the level of the language (literary language, dialect, etc.) in which the discourse or the utterance are materialized, etc.

It is apparent from the foregoing that the decisive factors influencing individual linguistic style are above all subjective, or rather subjectivizing factors, hence in investigating this category we try to grasp those features that are related to the character of those factors. In investigating the more general categories, as e. g. the style of a certain type of discourse, the style of a certain literary form, the style of a certain period, the functional (objective) linguistic style, we disregard the individual features of the discourses and we consider the features, attributes, properties which are common to the discourses and works of the given category, in short, we pay attention mainly to the objective style-forming factors and to objective laws valid for the given category of style.¹⁶ It would be wrong, of course, to ignore, neglect or overlook the objective factors when investigating the individual linguistic style.

¹⁶ Cf. the discussion about general questions of style and stylistics in the periodical „Slovo a slovesnost“, 1954/1955. We should like to call attention especially to the following papers: E. Pauliny, *O funkčnom rozvrstvení spisovného jazyka*, SaS 16, 1955, p. 19 f.; K. Hausenblas, *K základním pojmům stylistiky*, SaS 16, 1955, p. 1–15; L. Doležel, *K obecní problematice jazykového stylu*, SaS 15, 1954, p. 56–64).

We should get entangled by one-sided subjectivistic theories, which are not acquainted with the objective factors of individual style or with the objective factors of stylistic phenomena in general. Since we understand the category of the individual linguistic style as a category of relations that can be realized only within the other categories, we cannot disregard the other, objective factors. On the contrary, we must always take into consideration the complicated, dialectical, contradictory relation of the already mentioned heterogeneous factors, a relation that forms the basis of the given category. In analyzing the individual linguistic style, we must respect the specific aspect that constitutes the starting point when we approach the problems under consideration.

The investigation of all objective and subjective style-forming factors enables us to distinguish between stylistic phenomena of different levels, their interrelations and the objective conditions of their realization.

The discrimination between functional and non-functional stylistic phenomena helps discern between the primary, essential, and the secondary attributes of stylistic phenomena.

An inner differentiation of the author's individual style is given through the variability of the styles of his different literary artistic works. The individual style may vary according to whether the writer uses one or several literary forms, whether his writings comprise only prose or prose and drama, prose and poetry etc.

The inner differentiation results furthermore from the stage of development of the different stylistic means used by the author.¹⁷

Special consideration should be given to questions of the position and the significance of the individual style within the particular functional style, as e. g. to the importance and significance of individual style within the given artistic style, within the scientific style, the colloquial style, the journalistic style and the miscellaneous style. In some styles—as e. g. in the scientific (professional) style—there is a tendency to level individual style. This does not mean, of course, that there does not exist a category of individual linguistic style within the scientific (professional) style. It is sufficient to compare different scientific monographs or studies to prove the existence of individual styles of the authors even in such writings. The significance of the different individual linguistic styles within the given functional styles varies according to the function of the individual styles in the given higher, objective style of the literary language. In the artistic style, i. e. in the one that aspires to the maximum of variability, the individual style gains extreme significance, since through these individual styles of the authors and their works the inner differentiation

¹⁶ Czech linguists, especially K. Hausenblas (see the quoted paper in „Slovo a slovesnost“, 16, 1955, p. 1–5), pointed to these circumstances.

¹⁷ I showed the development of stylistique means of the individual style of the Slovak writer Milo Urban by analyzing the text level of his narrative prose. See my paper *Výstavba kontextu v próze Mila Urbana*, *Jazykovedný časopis* IX, 1958, no. 1–2, p. 22–58).

and variability (among other forms) of the artistic style of the given period are being attained.¹⁸ Jan Mukařovský discusses individual linguistic style as an inseparable component of the individual literary style in his paper *K otázce individuálního slohu v literatuře* (see *Česká literatura*, VI, 1958, p. 245–268). He emphasizes the importance of the individual linguistic style for the estimation of the literary work of the author in its entirety, traces the connection between the idea and the linguistic style of the work and finally points to the importance of the individual linguistic style for the development of the particular literary current.

V. V. Vinogradov in his work *Problema avtorstva i teoriya stiley* approaches the individual linguistic style of the writer as a historical category which helps to shape functional linguistic styles, especially the artistic literary style and in this way stimulates the development of the Russian literary language itself.¹⁹

The development of the different theories of style up to the present day tends to disclose gradually the complicated character of stylistic phenomena. The properties of stylistic categories are being studied and their mutual relations are being established. The same applies to the category of the individual linguistic style.

We consider it correct to regard the category of individual linguistic style as a category of relations whose basic features are given by the character of relations of the given category and higher as well as lower categories. For individual linguistic style exists only within the given categories and may be realized only along the line: style of the discourse (or of the literary work) — objective functional style.

Influencies of the other stylistic categories—as e. g. of the style of the appropriate literary form, of the literary genre, influences of the style of the respective period—upon the character of the individual linguistic style cannot be excluded, of course. We maintain individual linguistic style to be a complicated linguistically-stylistic phenomenon, given by a multitude of incongruous, non-equivalent, linguistic as well as non-linguistic factors, historically conditioned and specifically correlated. It will be necessary to give an exhaustive analysis of the category, a characteristic of the factors that are being formed and to determine the distinctive features of the individual linguistic style. For the time being we have confined ourselves to merely outlining the way which the investigation is to pursue.

¹⁸ The importance of individual style must, of course, not be overestimated, as F. Vodička pointed out quite correctly in his paper *Básnický jazyk jako výtvor národní kultury* (in the miscellany *O básnickém jazyce*, B. Havránek, J. Mukařovský, F. Vodička; Praha, 1947), when saying (p. 32): „Although the language of poetry tends to be individually unique and unrepeatable, it is not the work and creation of the will of a single individual, though it may appear at first to be so. Poetic language is the product and common property of the national culture...”

¹⁹ The work was published in Moscow in 1961 and is based on the unidentified works of great Russian writers (Karamsin, Dostoyevsky, Pushkin). Vinogradov ascribes on the basis of a detailed analysis of the style of the mentioned authors to each author one of the hitherto unidentified works. He uses the comparative method, comparing the individual styles of the mentioned authors with the styles of other authors (Radishchev, Vyazemsky, Leskov, Somov et al.).

PREFIX (KU-) ~ (KŪ-) IN MAORI

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The phonemic aspect of Polynesian languages, since the decay of Proto-Austronesian linguistic unity, has undergone pronounced changes which in general have led to the liquidation of many distinctive features, to the fusion of phonemes and so to a radical simplification of the phonemic system. Due to the reduction of the inventory of phonemes a strong increase of homonymy has taken place. However, even though the linguistic and extra-linguistic context is in most cases sufficient for a correct understanding of the polysemantic word, in all languages tendencies appear which lead at least partly to the liquidation of homonymy. In the Polynesian languages this tendency was accomplished by lengthening words, namely by doubling (complete or partial), by composition and by affixing. The first two ways predominate in modern Polynesian languages. The majority of affixes, especially in Eastern Polynesian languages, has lost its productivity. E. g. in Maori we find a minimal number of productive affixes along with a large amount of unproductive affixes which are often limited just to a few words. One of these unproductive affixes is the prefix (ku-) ~ (kū-).

In Maori there are up to 250 two- and more-syllable words with the initial syllable ku respectively kū. This ku (kū) may be of one of the following four origins:

1. a part of the word root (e. g. kurī — dog, kutu — louse);
2. a result of doubling the first syllable of the word root (kukume — to pull, drag; kukune — plump, to swell; kukuti — to draw together, contract, pinch, etc.);
3. an independent word occurring in compounds with other words (e. g. kū — make a low inarticulate sound, is met in these compound words: kuhī — make a rushing sound, hī meaning make a hissing noise, whistle; kūihi — speak in a low tone, ihi — make a hissing or rushing noise; kumeme — mutter, where meme — muttering, murmuring; kunanu — talk unintelligibly, talk gibberish, nanu — mixed, confused, indistinct, inarticulate);
4. If out of the words with the initial ku- resp. kū- we eliminate those encompassed

under 1.—3. we are finally left with words in which the initial syllable ku- resp. kū- has a prefixal character. Here belong the following words:¹

Words with the

Prefix (ku-) ~ (kū):

kuanu, a. — cold

kūemi, v. i. — be assembled

kūngenge, a. — wrinkled, puckered

kupango, a. — dark in colour

kupapa, v. i. — lie flat, stoop, go stealthily; a. — at a low level

kūpapapa, a. — low

kūpara, a. — completely

blackened

kūparu(paru), a. — dirty

kupere, v. i. — flow swiftly

kūpiapia, a. — sticky, clammy

kūrapa, v. i. — spread out

kūrarirari, a. — wet, sloppy

kūrurururu, a. — perplexed, bothered, disputed, subject to contention

kūreherehe, a. — wrinkled, soft, flabby

kurehu, a. — indistinctly seen, dim;
v. i. — doze

Compare with:

anu, n. — cold

emi(emi), v. i. — be assembled, be gathered together

ngenge, a. — weary, tired, fat; ngene-

ngene, a. — wrinkled, full of folds

pango, a. — black

papa, n. — anything broad, flat and hard, earth floor; a. — lying flat, thrown down

see above

para, n. — sediment, impurity, mud, dark coloured stone, Anthornis melanura (bell-bird); parauri, a. — dark in colour

paru, n. — dirt, mud, excrement; a. — dirty; paruparu, n. — mud, dirt; a. — dirty

pere, n. — arrow, dart, sail of a canoe; v. i. — go; v. t. — throw an arrow, dart

pia, n. — gum of trees, or any similar exudation; piapia, a. — glaimy, viscid

rapa, v. i. — spread out

rari, a. — wet; v. t. — wash, scour

raru(raru), v. i. — be in difficulty, be perplexed, be hindered, be encumbered; n. — trouble, preoccupation

rehe, n. — wrinkle, fold in the skin; a. — wrinkled

rehu, n. — haze, mist; a. — covered with fine dust, dimly seen, seeing dimly, bedimmed; v. i. pass out of sight; v. t. — render drowsy

¹ The words, their meanings and grammatical indexes (a. — adjective, n. — noun, v.i. — verbum intransitivum, v. t. — verbum transitivum) are denoted according to H. W. Williams,

kūreureu, a. — uneven, out of rank
 kūtaitai, a. — tasting disagreeably
 kūtao, a. — cold
 kūtere, a. — soft, liquid, fluid; v. i. —
 flow together, rush into one place
 kūteretere, a. — soft, nearly liquid
 kūtoro, a. — stretched at full length
 kūwaiwai, a. — wet
 kūwao, a. — wild (of the woods)
 kuware, a. — ignorant, low in social
 scale, held in no estimation
 kūwata, v. i. — long for, yearn, love,
 desire
 kūwawa, a. — scattered, disorganized

tīreureru, a. — uneven, out of rank
 tai, n. — sea; mātaimai, n. — salt
 mātao, a., n. — cold
 tere, v. i. — drift, float, flow, swim
 see above
 toro, v. i. — stretch out, extend
 wai, n. — water
 wao, n. — forest
 ware, a. — ignorant, careless, thought-
 less, off one's guard, mean, low in
 in social position
 wawata, watawata, v. t. — desire
 earnestly, long for; n. — yearning
 wawa, a. — scattered

Into this list are included only the most unquestionable cases. We have listed only those words which can occur without (ku-) ~ (kū-) or with other prefixes (e. g. mā-, ti-), naturally under the condition that the criterion of meaning was satisfied (the word pairs must have the same or similar meaning). We omitted for instance such words as kueo, a. — moist, soaked; kuiki, a. — cold; kuiwi, a. — cowardly, stupid; kūwhewhewhewhe, a. — puckered, wrinkled. The character of ku- resp. kū- in these and many other words can be definitively clarified only by further morphemic analysis of the Maori vocabulary.

H. W. Williams unjustifiably denotes some of the derivations as adjectives and some as verba intransitiva. Due to their prefix all of them have the same combinatorial possibilities in which are displayed their grammatical meaning and word class affiliation. They can occur with processual particles (e. g. „Taria e hoki mai ki a matou ra, ko te pukai pani e *kuwawa* noa nei“), nominal particle te (e. g. „Katahi ano te *kuwaiwai* o te ara nei“), noun derivative suffix — (Ca)nga (e. g. „Anei te *kutorotanga* a nga poaka nei“). However, they do not take a passive suffix. According to these distributive criteria established by B. Biggs² we affiliate the words with the prefix (ku-) ~ (kū), to the word class of adjectives.

The inclusion of derivations with (ku-) ~ (kū-) to the class of adjectives is given by this prefix which has a meaning of a state. The meaning of a state allows us to connect this prefixal morpheme with the verbal particle kua (sometimes used in

A Dictionary of the Maori Language, Wellington 1957, and according to E. Tregear, *The Maori-Polynesian Comparative Dictionary*, Wellington 1891.

² B. Biggs, *The Structure of New Zealand Maori*, Anthropological Linguistics, March 1961, pp. 24, 34.

the short form ku) which expresses a perfective meaning, a meaning of complete action or state.³

It would be of use to find out whether the morpheme (ku-) ~ (kū-) appears in other Polynesian languages as a derivative prefix too or whether it is used only as a verbal particle.

It is not quite clear what determines the use of two different variants (ku-) and (kū-). Four- and more-syllable bases occur only with the long variant. Alternations in the vocalic quantity are typical also of other prefixes.

Summary: In Maori exists an unproductive derivative prefix (ku-) ~ (kū-) which is genetically identical with the verbal particle kua ~ ku and which gives the words the meaning of a state.

³ H. W. Williams, o. c., p. 153.

B. Biggs, o. c., p. 29.

S. H. Elbert—M. K. Pukui, *Hawaiian-English Dictionary*, Honolulu 1957, p. XXII.

FROM OIA PASSIVE TO NIA ACTIVE

VLADIMÍR MILTNER, Praha

The so-called ergative (or, agential) construction is one of the most interesting phenomena of the NIA verbal system. This construction is generally considered an active one, the opposite opinion being merely exceptional,¹ though it has its origin in an OIA passive construction. Prof. Burrow writes: „In the later history of Indo-Aryan, in the Prakrit period, all forms of active preterite were lost, and their place was taken by passive constructions with the participle in *-ta*. This process is reflected in the later Sanskrit literature; the usual construction becomes *mayā brāhmaṇo dṛṣṭaḥ* 'the brahman was seen by me' instead of *aham brāhmaṇam apaśyam* 'I saw the brahman'“. ² The same construction appears in Prakrit *iyam dhammalipī devānaṃ priyena priyadasinā rāṇā lekhāpitā*, in Apabhramśa *āsi kiū amhahiṇ ko avarāho*, or in Old Rājasthānī *rājakanyā maiṇ dīṭhī*, but its quality changes stage by stage though its form remains the same. The NIA passive voice, after that, is expressed periphrastically with some auxiliary verbs.³

First of all, I must mention some points of my theoretic approach to the problem. Let us appoint that the sentence part function of a sentence part is its grammatic content, and the form which realizes this function is the functor, i. e. one of the parts of speech or a clause. The distribution of the sentence parts is determined not only by their function, but by their functor as well. If we stipulate that the sentence part function (*F*) is the grammatic (or, perhaps better, syntactic) content of the sentence part and that the functor (*f*) realizing this function is its form, then in every sentence part (*Ff*) the dialectic unity of this content and form is expressed. For Hindī it was suitable to set up five sentence part functions, and that: subject (*S*), predicate (*P*), object (*O*), attribute (*A*) and complement (*C*). The functors are divided into nine basic functor classes with some sub-classes, so that e. g. *1* means substantives, *2* means non-participial verbal tenses, etc. This

¹ See e. g. A. Thumb, *Handbuch des Sanskrit*, I. Teil, *Grammatik*, I (Einleitung und Lautlehre), 3. Aufl. von R. Hauschild, Heidelberg 1958, pp. 125 seq., and also S. K. Chatterji, *Indo-Aryan and Hindī*, 2nd ed., Calcutta 1960, p. 128.

² T. Burrow, *The Sanskrit Language*, 2nd ed., London 1959, p. 354.

³ Comp. J. Bloch, *La formation de la langue maratthe*, Paris 1919, pp. 231 seq.

classification is in a high degree applicable also to other NIA languages. Further I presume that every syntactic relationship is a manifestation of the dialectic unity of the content relationship (i. e. coordination, determination or predication) and the formal relationship (i. e. association, congruence and government).⁴

The most characteristic feature of the ergative constructions in NIA is that there are double formal syntactic (or, endosyntagmatic) relationships in the syntagmas formed by the main parts of sentence, i. e. between the functors expressing the sentence part functions of subject and predicate and between the functors expressing the sentence part functions of predicate and object. But not only this — these double formal relationships are to be considered with care when analyzing such a construction. Generally spoken, we may presuppose that double formal relationships have place in every syntagma, e. g. in Hindi *choṭī billī* we may see the formal relationship of congruence from the head sentence part *billī* to the dependent sentence part *choṭī*, and the formal relationship of association in the reverse direction. The association, of course, as the zero formal relationship, may be fully neglected here. In the ergative constructions, however, the double formal relationships are of various kinds, as will be shown further, and, moreover, the content syntactic relationships do not simply coincide with the formal ones as it is found in regular active constructions.

In the ergative constructions the sentence part function of predicate (*P*) is expressed by the functor 322 (i. e. a perfective adjectival participle of a transitive verb) or another functor connected with a copulative verb the functor of which is 322, the sentence part function of subject (*S*) is expressed by a functor in the ergative (or, sometimes, oblique or instrumental) case, and the sentence part function of object (*O*), if there is any, is expressed by a functor in the nominative (direct, *f^{dir}*) or dative (oblique, *f^{dat}*) form of the accusative case. Considering the real possibilities of language, thus, we have this theoretic table:⁵

	A	B
i	$O f^{dir} \xleftrightarrow[3]{2} P \ 322 \xleftrightarrow[1]{3} S f$	$S f \xleftrightarrow[3]{1} P \ 322 \xleftrightarrow[2]{3} O f^{obj}$
ii	$O f^{dir} \xleftrightarrow[3]{1} P \ 322 \xleftrightarrow[2]{3} S f$	$S f \xleftrightarrow[3]{2} P \ 322 \xleftrightarrow[1]{3} O f^{obj}$
iii	$O f^{dir} \xleftrightarrow[3]{1} P \ 322 \xleftrightarrow[1]{3} S f$	$S f \xleftrightarrow[3]{1} P \ 322 \xleftrightarrow[1]{3} O f^{obj}$
iv	$O f^{dir} \xleftrightarrow[3]{2} P \ 322 \xleftrightarrow[2]{3} S f$	$S f \xleftrightarrow[3]{2} P \ 322 \xleftrightarrow[2]{3} O f^{obj}$

⁴ These problems are discussed broadly in my article *O distribucii členov predloženiya v chindi*, Voprosy jazykoznanija No. 3, 1963.

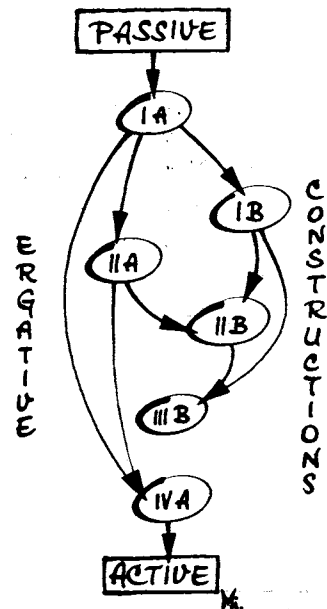
⁵ The figure above the arrow symbolizes the formal relationship from the previous sentence

This table can be illustrated by means of Marāṭhī:⁶

	A	B
i	<i>tvāⁿ mulī pāhīlī</i>	<i>*tvāⁿ mulilā pāhīlī</i>
ii	<i>*tvāⁿ mulī pāhīlā</i>	<i>tvāⁿ mulilā pāhīlā</i>
iii	<i>*tvāⁿ mulī pāhīlēⁿ</i>	<i>tvāⁿ mulilā pāhīlēⁿ</i>
iv	<i>tvāⁿ mulī pāhīlīs⁷</i>	<i>*tvāⁿ mulilā pāhīlīs⁸</i>

What is then the way of development of these constructions? The construction iA is modelled according to OIA passive voice. Its meaning and its classification in the system of NIA verbal tenses are far from having something in common with the passive voice now, but its form still is entirely passive. Owing to a contamination of iA and an active construction with the object functor in dative form of the accusative case the construction iB occurs. The construction iiA arose from iA under the influence of regular active constructions in which the predicate functor agrees with that of the subject. To make a long story short, the development of further NIA ergative constructions can be demonstrated graphically like this:⁹

The general tendency towards the active voice as to the grammatic (or, syntactic) content, though the form, i. e. the sentence structure, lags behind, is obvious here, I hope. The development got out step by



part to the following one, the figure below it denotes the formal relationship from the following sentence part to the previous one. The formal relationships are association (1), congruence (2) and government (3). The content syntactic relationships, namely coordination, determination and predication, are irrelevant for our purposes here.

⁶ The constructions impossible in Marāṭhī are denoted by an asterisk. For actual examples see the Supplement.

⁷ Hence the active proper with the subject functor in nominative, e. g. Marāṭhī *tūⁿ mulī pāhīlīs*, *tūⁿ mulyā pāhīlyās*. There are only slight traces of the primary passive structure in the morphologic form of the predicate functor.

⁸ iiiA and ivB were not met with till now.

⁹ Influence of regular active constructions, though unquestionable, is not marked in the graph.

step: every consequent construction has something of the previous ones preserved.

My statements put forward in this article are merely theoretic or methodic preliminaries to further investigation. But even now the dialectic laws are evident here: the unity of content (the active meaning) and form (the passive voice structure), the conflict between these contradictions (the development process towards NIA active) and the change of quantity to quality (the final results of this development).

Supplement

- iA — Hindī *lakṣmī ne koī javāb nahīⁿ diyā*, Braj *bā neⁿ dekho to ghurīyā na pāī*,¹⁰ Kannaujī *ui rānī ne javābu dao*, Avadhī *rekha tinha khāⁿcī*, Marāṭhī *tineⁿ snān keleⁿ*,¹¹ Gujarātī *govīⁿde kavītā lakhī*, Rājasthānī *pārakh kīdhī paⁿḍitā sarab*, Bhilī *waneⁿ potānī puⁿṛī beyāⁿneⁿ wāⁿṭī ālyī*, Pañjābī *muⁿde ne ih kitāb parhī*, Sindhī *piṇhe mahemānī kaī āhe*.
- iB — Gujarātī *tene rāṇīne nasādī mukī*, Rājasthānī *bāⁿnyuⁿ āp kī lugāī nai jagāī*.
- iiA — Nepālī *nānīle miṭhāī khāyo*.¹²
- iiB — Avadhī *likhanī maiⁿ līnhā*, Marāṭhī *tyāneⁿ āplyā mulās śāleⁿ pāṭhavilā*, Sindhī *mūⁿkhe sūbedārⁿ pakīrīo āhe*, Nepālī *rāmle rāvaṇlāī māre*.
- iiiA — no example till now; Old Rājasthānī *śravakīⁿ deva pūjīduⁿ* and similar cases are not convincing.
- iiiB — Hindī *śiv ne pārvatī ko vahāⁿ dekhā*, Marāṭhī *rāmāneⁿ rāvaṇās mārīleⁿ*, Gujarātī *śikṣake maganne māryūⁿ*, Pañjābī *unhāⁿ nai kuṛī nūⁿ māria*.
- ivA — Marāṭhī *tvāⁿ malā kadhīⁿ karḍūⁿ hī dileⁿ nāhīⁿs*.¹³
- ivB — no example till now.

¹⁰ Comp. intransitive Braj *lohre beṭā ne calyau*, Bundelī *bā ne baiṭho*, Mārvārī *naī kīnī¹ davarāī gayo*, Mālvi *choṭā larṭkāeⁿ calyo gayo*. This is a well-known phenomenon in OIA, too, comp. Sanskrit *tena gatam*.

¹¹ But Koṅkaṇī *tī snān kelī*; comp. also Marāṭhī *tyāneⁿ aⁿg dhutleⁿ*, but Koṅkaṇī *to aⁿg dhutlā*.

¹² Comp. Nepālī *nānīkarūle miṭhāī khāe*, which is as to the structure the same as *nānī royo*, *nānīkarū roe*.

¹³ And hence the active proper with only slight traces of passive in the predicate functor form, e. g. Marāṭhī *tūⁿ kām kele^s*, *tūⁿ ciṭhī vācīlīs*, where the predicate functor agrees with both the functors of object and subject, or, then, the purest active construction as in Koṅkaṇī (mentioned in the note 11) or Gypsy *me chāves dikhloṃ*, *me jāva mārloṃ*, where the predicate functor agrees with the subject functor only, irrespective of the functor of object. The sentence part function of subject, of course, is always expressed by a functor in nominative.

KANN DAS OSTRAKON VON NIMRUD FÜR ARAMÄISCH GEHALTEN WERDEN?

STANISLAV SEGERT, Praha

Im April 1957 wurde bei den von M. E. L. Mallowan geleiteten Ausgrabungen in Nimrud in Iraq, an Stelle der einstigen assyrischen Stadt Kalhu, ein Ostrakon gefunden, und zwar in der Destruktionsschicht des assyrischen königlichen Lagerhauses, bekannt unter dem Namen „Fort Shalmaneser“. Das Ostrakon wurde von J. B. Segal ohne Verzug und in vorbildlicher Weise veröffentlicht (*An Aramaic Ostrakon from Nimrud*, Iraq 19, 1957, S. 139—145, Plate XXXIV). Es ist 10 cm breit und 5,5 cm hoch. Mit Hilfe der infraroten Photographie hat Segal die Beschriftung auf beiden Seiten mit Ausnahme von ein paar Buchstaben verlässlich festgestellt.

Die konvexe Seite musste früher beschriftet worden sein, da hier ein Teil der ersten Zeile abgebrochen wurde, während die Beschriftung auf der konkaven Seite schon mit der verkleinerten Fläche rechnete. Auch die Schrift gibt an, dass die konvexe Seite etwas älter ist; wie Segal auf der vergleichenden Schrifttafel (Fig. 1 auf der S. 144) anschaulich darlegt, weist besonders *j* und *b* ältere Formen auf, als die Buchstaben auf der konkaven Seite. Beide Schriften setzt Segal in das 7. Jh. v. Chr. an, und diese Datierung stimmt auch mit dem archäologischen Befund überein, da der betreffende Bau 612 v. Chr. zerstört wurde (vgl. S. 143 u. 139).

Die Schrift des Ostrakon von Nimrud steht den Schriftformen des — ebenfalls auf den Tonscherben geschriebenen — Briefes und der Geschäftsurkunden aus Assur (M. Lidzbarski, *Altaramäische Urkunden aus Assur*, Leipzig 1921) sehr nahe, sodass man den Schriftcharakter als aramäisch wohl bezeichnen kann.

Doch der sprachliche Charakter soll aus der Analyse des Inhaltes gewonnen werden. Beide Seiten des Ostrakons enthalten nur Verzeichnisse von Namen ohne jede Einleitung, Erklärung oder Schlussbemerkung. Es sei hier der Text in Transliteration mitgeteilt:

I (konvexe Seite)		II (konkave Seite)	
1	[b]n'n'l. 'lnr. bnm[n!]hm	1	mnhm.bn'ljs'.
2	[h]nn'l.bn'n'l 'lnr.bn--'l	2	'lnr.bnšk'l.
3	mnhm.bnbd'l zkr'l.bnšnr	3	'jndb.bnħg

4	šb'l.bn'z'	ndb'l.bnḥnn	4	'ltmk.kbs
5	ḥnn'l.bnḥz'l		5	'kbr.blmtn
6	gn'.bnmnhm			

Es handelt sich also um Verzeichnisse von männlichen Personennamen, die mit den Patronymika versehen sind. Obwohl auf beiden Seiten die Worttrennung durchgeführt ist — auf der konvexen Seite durch die Punkte, auf der konkaven durch die vertikalen Striche — ist das Wort für „Sohn“ *bn* immer zusammen mit dem folgenden Namen des Vaters geschrieben. Es gibt aber zwei Ausnahmen: in der vorletzten Zeile der konkaven Seite kommt *bn* nicht vor, sondern die beiden Personennamen sind nur durch den vertikalen Strich getrennt. Auf der letzten Zeile der konkaven Seite erscheint nach dem Trennungsstrich die Gruppe von Buchstaben *bl*, die Segal ansprechend als ein vor einem *m* dissimiliertes *bn* erklärt (S. 144; vgl. noch hier unten). Es handelt sich also um die Bezeichnung des Ausdruckes für „Sohn“ in einer anderen Sprache als der aramäischen, die hier *br* (**bar*) verwenden müsste. Das *bn* (**ben*) ist aber kanaanäisch, und aus dieser Sprachgruppe kommt für diese Zeit und diesen Ort Hebräisch und Phoinikisch in Betracht.

Auch die Namen auf dem Ostrakon, wie Segal richtig betont, sind phoinikisch oder hebräisch (S. 144), doch sie wurden mit Hilfe der aramäischen Schrift aufgezeichnet (daselbst).

Es ergibt sich jetzt die Frage, ob man berechtigt ist, auf Grund der Schrift oder anderer aussersprachlichen Indizien dieses Ostrakon für aramäisch zu halten, wenn dort kein bestimmt aramäisches Wort belegt ist. Für die Beantwortung kann man dankbar das von Segal sorgfältig gesammelte Vergleichsmaterial zu allen hier vorkommenden 21 Personennamen (S. 140—143) heranziehen.

Folgende Zusammenstellung der Namen und ihrer Äquivalente im Hebräischen, Phoinikischen und Aramäischen geht nicht über das von Segal angeführte hinaus, doch sucht sie durch zahlenmässige Verwertung seines Materials Argumente für die Beantwortung der Frage nach dem sprachlichen Charakter des Ostrakons zu gewinnen. Es sei bemerkt, dass hier unter dem Aramäischen auch seine späteren Dialekte, wie Nabatäisch und Palmyrenisch verstanden werden, deren Eigennamen ja zum grossen Teil arabisch sind.

(Die Namen sind hier aus technischen Gründen in einfachster Weise angeführt; == bedeutet Identität, § eine ähnliche Bildung).

Von den 21 Namen sind 2 nur im Hebräischen und 1 nur im Phoinikischen belegt, während keiner für ausschliesslich aramäisch gelten kann. In allen diesen drei Sprachen sind 3 Namen bezeugt. Dem Hebräischen und Phoinikischen sind 10 Namen gemeinsam, dem Hebräischen und Aramäischen 12, wogegen nur 4 sowohl im Phoinikischen als auch im Aramäischen vorkommen. Diese Zusammenstellung unterstreicht den nicht aramäischen Charakter der in Ostrakon angeführten Namen.

Segal macht darauf aufmerksam, dass die beiden Schreiber des Ostrakons nicht

das kanaanäische *bn* (**ben*) als Äquivalent des aramäischen *br* (**bar*) identifiziert haben, sondern dass sie es als Bestandteil des Namens des Vaters aufgefasst haben (S. 145). Eine Untersuchung der Worttrennung in dem aramäischen epigraphischen Material dürfte zeigen, dass in dieser Zeit das Wort für „Sohn“ von dem Namen des Vaters nicht immer getrennt wurde, vgl. z. B. einen Text ohne Worttrennung auf der Rollsiegel aus Assyrien, wohl aus dem 7. Jh. v. Chr. (CIS II 75, Z. 2): *brgbrd*. In den Urkunden aus Assur kommt *br* zufälligerweise immer am Zeilenende vor (1; 4,1; 6).

I	Hebr.	Phoin.	Aram.
'Ana'el	§	§	0
'Eliner	§	§	0
Menahem	=	=	0
Hanan'el	=	0	=
Ḳjd'l	=	§	=
Zekar'el	§	§	§
Snr	0	=	0
Šs'l	=	0	§
'Uzza'	=	=	0
Nedab'el	=	0	0
Hannan	=	0	=
Haza'el	§	0	=
Gn'	§	§	0
II			
Menahem, s. oben			
'Eliša'	=	0	0
'Eliner, s. oben			
Šk'l	§	0	=
'jndb	§	§	0
Haggaj	=	0	=
'ltnk	§	0	§
Kbs	§	0	=
'Akbor	=	=	=
Mtn	=	=	=

Aufschlussreicher ist die Interpretation der Schreibung *blmtn* auf der 5. Zeile der konkaven Seite. Segal erwähnt zwar auch die Möglichkeit, hier mit Hilfe einer leichten Emendation **bltn* zu lesen und so den Namen zu den hebräischen und aramäischen theoforen Namen mit *ntn* — „(Gott) hat gegeben“ — in Beziehung zu stellen, doch er entscheidet sich für die Belassung der erhaltenen Schreibung und erklärt *bl* als Ergebnis der Assimilation von *bn* vor dem *m* (S. 143). Er erwähnt dafür Analogie aus dem Phoinikischen (M. Lidzbarski, *Ephemeris für die semitische Epigraphik III*, S. 99—100: *bl b'lpls*; J. Friedrich, *Phönizisch-Punische Grammatik*,

Roma 1951, § 56 b; vgl. auch Z. S. Harris, *A Grammar of the Phoenician Language*, New Haven 1936, S. 23 u. 87).

Die Dissimilation des *bn* zu *bl* dürfte bezeugen, dass der fremde, in diesem Falle aramäische Schreiber die kanaanäischen Namen phonetisch richtig aufgezeichnet hat. Die meisten von ihnen machten ihm ja keine Schwierigkeiten, da er sie in derselben Form oder in ähnlichen Namenbildungen aus seiner eigenen Sprache kannte. Die Aufzeichnung der assimilierten Form *bl* dürfte zwar bezeugen, dass der aramäische Schreiber die Bedeutung eines so geläufigen Wortes der hebräischen bzw. phoinikischen Sprache wie *bn* „Sohn“ nicht kannte, doch die Tatsache, dass die Phoiniker selbst hie und da der phonetischen Schreibung von der etymologischen den Vorzug gaben, kann gegen diesen Schluss angeführt werden.

Ist aber die sprachliche Zugehörigkeit einer Urkunde durch den Charakter der Schrift bestimmt? Diese Frage muss verneint werden. Es gibt ja je ein aramäischer Text in der neubabylonischen Keilschrift und in der ägyptischen demotischen Schrift. Freilich handelt es sich hier um zusammenhängende Texte und nicht um lose Namensverzeichnisse.

Man kann auch nicht annehmen, dass die sprachliche Zugehörigkeit des Schreibers für die Bestimmung des sprachlichen Charakters seiner Aufzeichnung ausschlaggebend ist. Es ist notwendig, die sprachliche Zugehörigkeit durch die linguistische Analyse der Urkunde zu bestimmen.

Wenn im Ostrakon von Nimrud nur solche Namen vorkommen, die auch im Hebräischen oder Phoinikischen belegt sind, aber kein ausschliesslich aramäischer Name, so kann daraus nur der Schluss gezogen werden, dass es sich um einen kanaanäischen Text handelt. Es dürfte dagegen eingewendet werden, dass eine eventuelle Aufschrift bzw. Beischrift in aramäischer Sprache auch alle hier enthaltenen Namen in den Bereich des Aramäischen einbeziehen könnte. Doch auch für einen solchen Fall gilt es, dass die aramäische Aufschrift aramäisch bleibt, aber die Namen einer anderen Sprache angehören. Für die Bereicherung unserer Kenntnisse des Aramäischen bringt also weder das Ostrakon von Nimrud noch ein anderer Text dieser Art etwas Wesentliches.

Allgemein darf also der Grundsatz anerkannt werden, dass ein nur die Eigennamen enthaltender Text derjenigen Sprache angehört, in der diese Eigennamen gebildet bzw. verwendet wurden. Wenn solche Namen von einem fremdsprachigen Schreiber aufgezeichnet werden, können dabei Auskünfte über wirkliche Aussprache gewonnen werden, die bei dem einheimischen Schreiber durch die feste Orthographie verdeckt zu werden pflegen. Im unseren Fall handelt es sich nur um die Dissimilation von *n* zu *l* vor einem *m*, während sonst die Orthographie der Eigennamen sowohl im kanaanäischen Dialekt als auch im Aramäischen gleich war.

Um die Frage nach der Sprachzugehörigkeit des Ostrakons von Nimrud zu beantworten, kann man von der Tatsache ausgehen, dass unter den 21 Namen nur ein einziger im hebräischen Material direkt oder durch ähnliche Bildungen nicht

vertreten ist, während 10 Namen unter den phoinikischen nicht belegt sind; es sei dabei bemerkt, dass 8 Namen in aramäischer Onomastik nicht vorkommen. Auch wenn man die ungünstigeren Bedingungen für die Erhaltung des phoinikischen onomastischen Materials in Betracht zieht, ergeben sich jedoch engere Beziehungen zu der hebräischen Onomastik. Da in den theoforen Namen des Ostrakons von Nimrud ausschliesslich 'l (El) vorkommt und nie jh (Jah(we)), dürfte man auf die nordpalästinische Herkunft der Träger dieser Namen schliessen, wohl aus den Gebieten mit hebräischer Bevölkerung, die unter die Herrschaft der phoinikischen Stadt Tyrus gehörten.

Es darf also der Schluss gezogen werden, dass das Ostrakon von Nimrud, da es hebräische Namen enthält, für hebräisch gehalten werden soll, ungeachtet des aramäischen Charakters der Schrift und der höchstwahrscheinlich aramäischen Zugehörigkeit der beiden Schreiber.

WORTSCHATZ UND TYPOLOGIE

VLADIMÍR SKALIČKA, Praha

O. Die Aufgabe des vorliegenden Aufsatzes ist zu zeigen, dass es nicht möglich ist, die Verschiedenheiten des Wortschatzes mit den typologischen Methoden zu beschreiben, dass also zwischen dem Wortschatz — ebenso wie der Syntax — auf der einen Seite und den anderen Bestandteilen der Sprache (der Lautlehre und der Morphologie) auf der anderen Seite ein grundlegender Unterschied besteht. Um das zu zeigen, müssen wir die Fragen der Typologie im allgemeinen (§ 1), dann diejenigen des lexikalischen Systems (§ 2), dann die Unterschiede und Ähnlichkeiten des Wortschatzes in verschiedenen Sprachen untersuchen (§ 3—4), endlich die Methoden, die für vergleichende Lexikologie in Betracht kommen (§ 5).

1. In den letzten Jahrzehnten werden die Fragen der Typologie in einigen linguistischen Disziplinen und auch ausserhalb der Linguistik mit ungleichem Erfolg erörtert. So fragt es sich, was unter Typologie eigentlich zu verstehen ist. Selbstverständlich steht die Typologie der Klassifizierung nahe, aber sie darf nicht damit gleichgesetzt werden. Es war ein grosser Fehler der früheren typologischen Schulen (inner- und ausserhalb der Linguistik), dass sie die Typologie als einfache Klassifizierung betrachteten.¹ Es handelt sich um eine solche Klassifizierung von Elementen, die mehrere miteinander zusammenhängende Unterschiede betrifft. Um eine Typologie aufzubauen, muss man diese Zusammenhänge formulieren. Eine Kette von solchen Zusammenhängen nenne ich Typus. Der Typus wird selten oder nie realisiert ohne Beimischung anderer Typen. So haben wir m. E. in der Morphologie und den benachbarten Bereichen der Syntax, der Lautlehre und des Wortschatzes fünf Typen zu unterscheiden. Das sind Modelle, nach denen die konkreten Sprachen konstruiert werden.

Dem Schlagwort „Typologie“ begegnet man in den letzten Jahren sehr oft. Man spricht von Typologie nicht nur in der Morphologie, Syntax, Lautlehre und Lexikologie, sondern auch in der Stylistik² und Semiologie³, ja auch ausserhalb

¹ Burlakova—Nikolajeva—Segal—Топоров, *Структурная типология и славянское языкознание*, Структурнотипологические исследования, I, 1962, p. 7

² Vgl. den Sammelband, *Style in Language* (Ed. Th. Sebeok), New York, 1960, passim.

der Linguistik, vor allem in der Anthropologie und Psychologie. Die von der Typologie behandelten Objekte sind heute sehr mannigfaltig. Man kann hier nicht eine einfache Klassifizierung anwenden; es ist wieder eine Typologie der Typologien, also eine Metatypologie unentbehrlich.

Es wäre vorzeitig, eine solche Metatypologie als ganzes hier skizzieren zu wollen. Im Rahmen der Linguistik wollen wir nur einen Unterschied feststellen. Einige linguistische Typologien betreffen vor allem die Form, die Bedeutung ist für sie weniger wichtig. Die phonologische Typologie liefert ein gutes und unstrittiges Beispiel. Aber eine ähnliche Lage besteht auch in der Morphologie. Scheinbar handelt es sich hier um Fragen der Bedeutung, d. h. um die Existenz oder Nichtexistenz von Tempora, Genera, Kasus, Kopula, Nebensätzen, Gerundien usw. Aber dem ist nicht so. Die Morphologie dient nicht dazu, neue Tatsachen auszudrücken, sondern dazu, syntaktische Schemen deutlich und bequem zu machen und die Wörter in Wortklassen einzugliedern. Sie ist der Sprache entbehrlich und kann auf verschiedene Weise konstruiert werden. Die Bedeutung des Satzes oder der Äußerung wird mit dieser oder jener Morphologie weder reicher noch ärmer.

Einen Gegensatz zu den auf die Lautlehre oder Morphologie ausgerichteten Systeme bilden diejenigen Typologien, die nicht nur die Form, sondern auch die Bedeutung betreffen. Hierher gehört z. B. die Typologie der Stilistik, die verschiedene Stile ausdrückt, die Typologie der Expressivität, der künstlichen Programmierungssprachen usw.

Die eben behandelte objektbedingte Metatypologie ist nicht die einzig mögliche. Die Theorien, welche die gleichen Gegenstände, z. B. die Morphologie, behandeln, sind ebenfalls verschieden. Man hat sie schon öfters miteinander verglichen.⁴ V. A. Uspenskij spricht von einer „Klassifizierung“ der typologischen Theorien. Da es sich hier wieder nicht um eine einfache Klassifizierung, sondern um ineinander übergehende Typen handelt, so wäre es m. E. besser von einer Typologie der Typologien, d. h. von einer Metatypologie sprechen. Es handelt sich um solche Unterschiede wie die der „klassifizierenden“ Typologie (Humboldt, Steinthal, Finck), der „charakterologischen“ (Lewy), der quantitativen (Greenberg) usw.

Als Domäne der Typologie gilt mit Recht — vom Standpunkte jeder typologischen Schule aus betrachtet — die Morphologie. In den letzten Jahren hat man auch eine Typologie der Lautlehre aufgebaut. Die Lauttypologie ist ein wenig anders als die morphologische Typologie konstruiert, beide hängen in gewissen Punkten miteinander zusammen, in anderen Punkten sind sie aber unabhängig. Um nur zwei Beispiele anzuführen: Der phonologische Typus des Chinesischen mit seinen reichen Vokalismus hängt offenbar mit dem morphologischen Typus dieser Sprache (den ich als polysynthetisch bezeichne), zusammen. Das Ungarische, das vorzugsweise agglutinie-

³ Vgl. z. B. A. Schaff, *Wstęp do semantyki*, Warszawa, 1960, p. 148

⁴ V. A. Uspenskij, *Принципы структурной типологии*, М. 1962, p. 11.

rend ist und das Tschechische, das als Beispiel des flektierenden Typus gelten kann, haben ein fast identisches phonologisches Repertoire.

Anders liegen die Verhältnisse in der Syntax. Die Syntax ist der Sprache unentbehrlich. Jede natürliche Sprache besitzt etwas, das als Subjekt, Prädikat, Attribut, Parataxe, Hypotaxe usw. bezeichnet werden kann. Natürlich gibt es im Rahmen der Syntax grosse Unterschiede zwischen den Sprachen. Einige Sprachen bevorzugen die Nenebsätze, andere Gerundia und Infinitive. Einige Sprachen benützen die Wortfolge zum Ausdruck der primären syntaktischen Verhältnisse, andere zum Ausdruck der Thema-Rhema-Gliederung usw. Aber diese Verschiedenheiten sind eng mit der Morphologie verknüpft. Die grammatische Wortfolge setzt endungslose Wörter, d. h. eine morphologische Tatsache voraus. Die Existenz der Gerundia und Infinitive ist nicht nur eine syntaktische, sondern auch eine morphologische Angelegenheit. Wenn einige Autoren (Milewski, Bazell u. a.) von einer syntaktischen Typologie sprechen, so verwenden sie auch morphologische Kriterien, d. h. verschiedene Endungen, die Konstruktion des Wortes usw.

Auch im Hinblick auf den Wortschatz hat man von einer Typologie gesprochen. St. Ullmann⁵ formuliert die Aufgaben der lexikalischen Typologie wie folgt: „1. The dosage of motivated and unmotivated words, 2. the dosage of particular and generic terms, 3. special devices for conveying emotive overtones, 4. the organization and distribution of synonymic resources, 5. the relative frequency of polysemy; its characteristic forms; safeguards against ambiguities to which it may give rise; 6. the relative frequency of homonymy; safeguards against conflicts between homonyms.“

Man kann kaum leugnen, dass diese Formulierung richtig ist. Alle typologisch wichtigen Punkte des Wortschatzes sind hier berücksichtigt. Es fragt sich aber, ob damit das lexikalische System selbst betroffen ist. Meines Erachtens handelt es sich hier nur um Fragen am Rande des Problems, die für das lexikalische System im ganzen nichts besagen.

2. So sind wir zu Frage des lexikalischen Systems gelangt. In den letzten Jahren hat es mehrere Versuche gegeben, den Wortschatz als System darzustellen.⁶ Wir wollen jetzt nicht die ganze Frage prüfen, wir möchten nur auf einige Tatsachen aufmerksam machen.

Das lexikalische System — wenn es überhaupt besteht — darf weder mit Synonymie, Polysemie und Homonymie noch mit der „inneren Sprachform“ identifiziert werden. Der Wortschatz ist ein Abbild der aussersprachlichen Welt, wie sie der Mensch im Lichte seiner Bedürfnisse, seiner Tätigkeit und seiner Wünsche sieht. Die Objekte, denen der Mensch bei seiner Tätigkeit entgegentritt, ihre Eigenschaften und Veränderungen werden mit den Wörtern bezeichnet.

⁵ St. Ullmann, *Descriptive Semantics and Linguistic Typology*, Word 9, 1953, p. 228.

⁶ Vgl. z. B. A. A. Ufimceva, *Опыт изучения лексики как системы*, М. 1962.

Das, was für den Mensch am wichtigsten ist — d. h. er selbst, sein Verhältnis zu anderen Menschen, zur ganzen Welt — das ist die natürliche Basis des lexikalischen Systems. In diesem Bereich sind die Bedeutungen am stärksten differenziert. Es gibt eine Unmenge von Wörtern, die den Menschen (*Mensch, Mann, Greis, Gemahlin, König, Philosoph, Deutscher...*), seine Tätigkeit (*leben, essen, schneiden, gehen, schicken...*), und seine Eigenschaften (*gross, schlau, neugierig...*) bezeichnen. In dieser Masse von Wörtern gibt es verschiedene Teilsysteme (z. B. *Junge — Mann — Greis; Mädchen — Frau — Greisin*). Zu den Wörtern, die den Menschen bezeichnen, gesellen sich andere Wörter, nach Massgaben menschlicher Interessen geordnet. Die Wörter sind durch viele mannigfache Beziehungen verknüpft. Die wichtigsten davon sind die syntagmatischen Beziehungen (z. B. die Beziehungen der Wörter *Mensch — essen, Mensch — leben, Mensch — lehren, Katze — miauen*) und die assoziativen (oder paradigmatischen) Beziehungen (*Nase — Mund, Katze — Hund, Mann — Frau*).

Wir können hier natürlich keineswegs das ganze lexikalische System darstellen. Wir wollten nur zeigen, das die Basis der lexikalischen Systeme verschiedener Sprachen die gleiche ist. Der schroffe Gegensatz zur Morphologie tritt hier klar hervor.

3. Wie verhalten sich die Unterschiede des Wortschatzes in den verschiedenen Sprachen, von diesem Standpunkte aus betrachtet?

Der augenfälligste Unterschied ist die „innere Sprachform“, d. h. die Motivierung (vgl. d. *Schlüssel* zu *schliessen*, arab. *mißtāḥun* zu *fataḥa*, 'öffnen', finn. *avain* zu *avata*, 'öffnen', haussa *mábuḍi* zu *buḍa*, 'öffnen', aber engl. *key*, franz. *clé*, ung. *kulcs* ohne Motivierung). Diese Unterschiede sind natürlich sehr mannigfach und interessant und man hat darüber — auch im Rahmen der Typologie — vieles geschrieben. Aber die Bedeutung dieser Tatsachen für den Aufbau des lexikalischen Systems ist gering. Das Wort für den Schuster bleibt immer dasselbe, steht in denselben syntagmatischen, paradigmatischen und sonstigen Beziehungen zu anderen Wörtern, ob es *Schuhmacher* oder **Schuh-er* (ung. *cipész* zu *cipő*, 'Schuh', türk. *konduracı* zu *kondura* 'Schuh') oder Näher (lat. *sutor* von *suere* 'nähen') oder einfach Schuster ohne Motivierung (deutsch *Schuster*, tschech. *švec*, finn. *suutari*) lautet. Die Unterschiede dieser Art stehen unzweifelhaft in enger Verbindung mit der morphologischen Typologie. So bevorzugt das Chinesische Komposita, das Ungarische und Türkische Ableitungen, die Suahelisprache Eingliederung in eine Substantivklasse (*Msuaheli* 'der Suaheli', *kisuaheli* 'die Suahelisprache'). Der Zusammenhang mit den morphologischen Eigenschaften der betreffenden Sprachen ist offenkundig.

Ein anderer Unterschied des Wortschatzes verschiedener Sprachen liegt in der plastischen Angleichung an die Lebensbedürfnisse. Bekanntlich besitzen die Araber viele Wörter für das Kamel, die Lappen für das Renntier, die Naturvölker für verwandtschaftlichen Beziehungen, der moderne Mensch für wissenschaftliche, technische und andere Begriffe. Das aber verändert nicht die Konstruktion des Wort-

schatzes. Das bedeutet nur das, dass einige Teilsysteme reichlich differenziert sind.

Ein weiterer Unterschied liegt im sporadischen Vorkommen oder Fehlen einiger Wörter. So hat das Lateinische und das Finnische das Wort *occiput*, *takaraivo*, das mehreren anderen Sprachen fehlt. Ebenso hat das deutsche Wort *Beere*, russisch *ягода*, finn. *marja* in manchen anderen Sprachen kein Äquivalent. Solche Fälle sind natürlich nur sporadisch.

Weiter unterscheiden sich die Sprachen inbezug auf die Bedeutungen einzelner Wörter. Die Grenzen dieser Bedeutungen schwanken von einer Sprache zur anderen. Einige Sprachen besitzen nur ein Wort und auch einen Begriff für die deutschen Wörter Finger und Zehe: tschech. *prst*, russ. *палец*, franz. *doigt* (*doigt du pied* heisst auch *orteil*), span. *dedo*, ung. *ujj*, suah. *kidole*, georg. *titi*, indones. *djari*, türk. *parmak*. Andere haben hier zwei Wörter und auch zwei Begriffe: deutsch *Finger* und *Zehe*, engl. *finger* und *toe*, finn. *sormi* und *varvas*, haw. *manamanalima* und *manamana-wawae*. Einige Sprachen besitzen drei Wörter für Tag (24 Stunden), Tag (Tag im Gegensatz zu Nacht) und Sonne, andere zwei Wörter oder nur ein Wort (natürlich immer drei Begriffe), vgl. russ. *цымку*, *день*, *солнце*, finn. *vuorokausi*, *päivä*, *aurinko*, neupers. *šebanerūz*, *rūz*, *āftāb*, schwed. *dygn*, *dag*, *sol*, deutsch *Tag*, *Tag*, *Sonne*, engl. *day*, *day*, *sun*, mordw. *чу-се*, *чу*, *чу*, ung. *nap*, *nap*, *nap*. Es ist sehr lehrreich, damit die Wörter für Mond und Monat zu vergleichen, die ganz anders verteilt sind: russ. *месяц* oder *луна* und *месяц*, finn. *kuu* und *kuukausi*, schwed. *måne*, *månad*, suah. nur *mwēzi*, mong. nur *sar*, neupersisch nur *māh*, deutsch *Mond*, *Monat*, engl. *moon*, *month*, tsch. nur *měsíc* (veraltet *luna* ‚Mond‘), mordw. nur *кoe*, ung. *hold* und *hó* oder *hónap*, türk. nur *ay*, indones. nur *bulan*. Es ist klar, dass die Sprache in den betreffenden Fällen sich zwischen zwei Möglichkeiten bewegt.

Was die Quantität betrifft, so besteht unleugbar ein Unterschied zwischen den Sprachen mit grösserer und geringerer Polysemie. Das hängt eng mit der Motivation der Wörter, von der wir oben gesprochen haben, zusammen. Die Sprachen vom isolierenden Typus (Englisch, Französisch usw.) neigen zur Ausnützung alter Wörter für neue Begriffe, d. h. zur Polysemie. Diese Tatsache manifestiert sich auch in der Konversion.

Was die Begriffsweite (vgl. oben den Fall Finger-Zehe) betrifft, es liegt hier im Verbum ein wichtiger Unterschied zwischen den Sprachen. Man hat oft schon darauf aufmerksam gemacht,⁷ dass die französische Sprache häufig nur ein Wort besitzt, wo andere Sprachen, z. B. Deutsch, Tschechisch, Ungarisch mehrere Wörter unterscheiden. Mit Recht hat man hier vor allem auf Verba hingewiesen. Man hat z. B. im Französischen ein Zeitwort *aller*, wo man im Deutschen drei Zeitwörter verwendet: *gehen*, *fahren*, *reiten*. Man sagt im Französischen *Les troupes sont entrées dans la ville*, *Le train est entré en gare*, *Le navire est entré au port*, *La loi est entrée*

⁷ Ch. Bally, *Linguistique générale et linguistique française*, Paris 1932, p. 369; St. Ullmann, l. c.; A. Sauvageot, *Les procédés expressifs du français contemporain*, Paris 1957, p. 221 ff.; V. Buben, *Studie o moderní franštině*, Praha 1938, p. 44.

en vigueur (Sauvageot 22), wo man in anderen Sprachen verschiedene Zeitwörter gebraucht, deutsch *einmarschieren, einfahren, einlaufen, treten*.

Die Sache hängt offenbar mit der Eigenart des Verbums zusammen. Das Verbum hat vor allem die syntaktische Funktion, den Stützpfeiler des Satzgewölbes zu bilden. Seine semantische Funktion wird teilweise durch andere Wörter ausgedrückt. Es ist z. B. überflüssig, die Zeitwörter *gehen, reiten, fahren* zu unterscheiden, wenn die Sachlage schon durch das Subjekt, Objekt oder Adverbiale klar genug ist. Dem Französischen, das nur ein Zeitwort (*aller*) besitzt, ist dieses überflüssige Element fremd. Deswegen sind auch die Wörter des Satzes voneinander recht unabhängig. Wahrscheinlich steht dies im Zusammenhang mit dem isolierenden Sprachtypus, der in dieser Sprache herrscht. Andere Sprachen, z. B. das Deutsche, besitzen hier eine Art Kongruenz.

Weitere Unterschiede des Wortschatzes liegen in der Ausbildung der Expressivität und des Stils. Auch hier kann man von einer Typologie sprechen. Aber hier handelt es sich wieder nicht um die Fragen des Wortschatzes im allgemeinen, sondern um die Fragen des Stils (der stilistischen Synonyma usw.) und der Expressivität. Die Basis des lexikalischen Systems wird damit nicht getroffen.

4. Den Unterschieden, die nicht gering sind, stehen Ähnlichkeiten der lexikalischen Systeme gegenüber, die weit grösser sind. Jede natürliche Sprache ist eine Vollsprache, d. h. sie drückt alles aus, was ausgedrückt werden muss. Für jede Sprache gibt es dieselbe Aussenwelt und so auch dieselbe Basis des Wortschatzes. Auch verleiht der anthropozentrische Charakter, von dem wir oben gesprochen haben, den lexikalischen Systemen verschiedener Sprachen eine fast identische Konstruktion. Das lexikalische System einer natürlichen Sprache kann nicht z. B. die Altersstufen des Menschen, die menschliche Familie, die menschlichen Berufe, die menschlichen Tätigkeiten und Eigenschaften, die Beziehungen zur Natur usw. vernachlässigen oder sie anders formulieren als es in den anderen Sprachen der Fall ist.

5. Man kann also nicht den Wortschatz verschiedener Sprachen mit Hilfe einer Typologie charakterisieren. Die typologischen Eigenschaften des Wortschatzes (die „innere Sprachform“, das Ausmass der Polysemie, die enge oder weite Bedeutung der Verba) hängen mit der morphologischen Typologie eng zusammen und bilden keine selbständige Typologie. Expressivität und Stil unterliegen wieder einer ganz selbständigen Typologie, die mit den Fragen des gesamten Wortschatzes nichts zu tun hat.

Die Konstruktion der lexikalischen Systeme ist so gut wie identisch. Die Unterschiede in der Konstruktion unterliegen unbedeutenden Schwankungen, die mit Hilfe der Statistik behandelt werden können.

BOOK REVIEWS

Gebhard Bauer, *Die Wirtschaft Afrikas*, Fritz Knapp Verlag, Frankfurt am Main, 1963, 441 Seiten, 1 politische Karte Afrikas.

Man kann nur eindeutig der Behauptung des Verfassers zustimmen, dass „der neue Wind, der in Afrika weht und sich mittlerweile zum richtigen Orkan entwickelt hat, mit aller Macht den Kolonialismus alten Stils hinwegfegt“ (s. 141) und „eine Welle der Freiheit über den Kontinent sich ergoss, und sie scheint auch vor den wenigen Ländern, die noch übriggeblieben sind, nicht Halt machen zu wollen“ (S. 7). Da muss allerdings noch hinzugefügt werden, dass diese Entwicklung durch den Ausgang des II. Weltkrieges, sowie die Entstehung des sozialistischen Systems ermöglicht und beschleunigt wurde und in absehbarer Zeit zur endgültigen Liquidierung des Kolonialismus führen wird. Wäre das Erbe der früheren Kolonien nicht so erbärmlich, stünden die jungen selbständigen Staaten nicht in solchem Maasse im Brennpunkt politischer und wirtschaftlicher Probleme. Mit der Erlangung der staatlichen Selbständigkeit beginnt aber erst das Ringen dieser Länder gegen Rückständigkeit auf allen Gebieten der Gesellschaft, um wirtschaftliche Entwicklung und wirtschaftliche Selbständigkeit und vor allem gegen jede Form des Neokolonialismus, welcher den Kolonialismus alten Stils zu ersetzen bestrebt ist. Schon diese Umstände allein sind ausreichend genug dazu, der Wirtschaft Afrikas ein besonderes Augenmerk zu schenken. Es sei vorausgeschickt, dass Jedermann, der eine Wirtschaftsstudie über Länder Afrikas vorlegen will — geschweige denn über alle —, bedeutende Schwierigkeiten zu meistern hat und dazu noch die Qual der Wahl hat bei der Fülle von Problemen zwischen hauptsächlichen und nebensächlichen nicht vom goldenen Weg der Mitte abzuweichen.

Als Ganzes erfüllt G. Bauer die erwähnten Forderungen, soweit es sich um die Konzeption des Buches handelt. Zum eigentlichen Inhalt sind jedoch einige grundsätzliche Bemerkungen unablässlich. Das Buch enthält Besprechungen über 37 afrikanische Länder (darunter 4 Kolonien — nach dem Stande vom 31. 12. 1962), welche fast den ganzen Kontinent umfassen. Nicht behandelt sind die spanischen und französischen Kolonien, Port. Guinea, Gabinda, Gambia, Ruanda, Burundi, die 3 englischen Protektorate: Betschuanaland, Swasiland und Basutoland, sowie Südwestafrika. Die wirtschaftliche Lage der einzelnen Länder wird im Durchschnitt in folgenden Kapiteln untersucht: Geschichte, Infrastruktur, Wirtschaft, Bergbau, Industrie, Aussenhandel, Entwicklungsprobleme und Entwicklungspläne, sowie Finanzen.

Umfang und Gründlichkeit, sowie die Ausführlichkeit einzelner Besprechungen sind der wirtschaftlichen Bedeutung der Länder angemessen. Aber auch politische und handelspolitische Erwägungen waren in dieser Hinsicht gewiss ausschlaggebend.

Nach der Beurteilung der Lage in Angola durch den Verfasser (S. 33—36) hat es allen Anschein als ob er ein Verteidiger des Kolonialregiems wäre. In Beziehung auf den Kolonialimperialismus Portugals meint der Autor, „dass Portugal wirklich grosses geleistet hat“ im Zusammenhang, „dass die Portugiesen bereits fünf Jahre vor der Entdeckung Amerikas durch Kolumbus dort waren“ (S. 33 — gemeint sind die afrikanischen Kolonien). Mit dieser Beweisführung, wenn dies auch nur im Vergleich zu anderen Kolonialmächten gemeint ist, wird den Kolonialherren schlecht gedient! Nach 5 Jahrhunderte langer Kolonialherrschaft sind die Lebensbedingungen, die Verwaltung und die politischen Verhältnisse so, dass sie zum Ausbruch des nationalen Befreiungskampfes 1961 führten. Dieser Kampf ist vom Verfasser als aufrührerische Rebellion bewertet (S. 33). Wieso kommt es aber, dass trotz der auf Seite 36 beschriebenen Sozialleistungen z. B. die Statistik eine Sterblichkeit von 40 % unter den Arbeitern erreicht und 1957 nach unvollständigen Unterlagen 126.728 Erkrankungen an Malaria gab?

Mit all diesen Problemen hat sich die UNO schon 1961 befasst und eine Resolution über die Gewährung der Selbständigkeit an Angola verabschiedet.

Über die Beurteilung der Entwicklung auf dem afrikanischen Kontinent und speziell in Moçambique (Port.) stellt jedoch der Autor des Buches auf S. 191 ausdrücklich fest — „Zwar ist Moçambique seit 1951 keine Kolonie mehr, sondern eine überseeische Provinz, aber dieser Namensänderung kam bisher kaum reale Bedeutung zu, weil sich an der Verwaltung und der politischen Struktur der betreffenden Gebiete *fast nichts geändert hat*“. Dazu muss noch hingefügt werden, dass in den Lebensbedingungen der unterjochten Völker und in der Wirtschaft sich fast nichts, resp. nur im solchen Grade, wie es die Kolonialherren für ihre Interessen für notwendig hielten, geändert hat.

Die reichlich aufgezeichneten Angaben über die Wirtschaft, Industrie (soweit von einer Industrie überhaupt die Rede sein kann) und Aussenhandel, aber auch mit besonderer Berücksichtigung untersuchten Finanzen einzelner Länder zeugen unabstreitbar von den unheilvollen Folgen der Kolonialherrschaft: Monokultur, bezw. Anbau ganz niedrig beschränkter Anzahl von landwirtschaftlichen Produkten, was überall die Versorgung der Einwohner mit Lebensmitteln für den Eigenbedarf in kritische Situationen bringt, Ausbeutung der reichen Bodenschätze und Wälder, Ausbeutung der Arbeitskraft, Deformation der Wirtschaft. Was auf Seite 192 wörtlich über Moçambique festgestellt ist, hat allgemeine Gültigkeit für jede Kolonie: „Reservoir von Rohstoffen für das Mutterland und Absatzgebiet von Fertigwaren. Die Industrialisierung, die heute forciert wird, wurde manchmal aufgehalten.“ Fraglich bleibt noch, welche Industrialisierung forciert wird. Was das Aufhalten betrifft, muss anstatt „manchmal“ durch *in der Regel* ersetzt werden.

Sozialprobleme, Arbeitslohn, Arbeitsbedingungen, welche doch unmittelbar mit der Wirtschaft zusammenhängen, und auch für den Handel von Bedeutung ersten Ranges sind, werden nicht behandelt. Nur einzeln sind einige zerstreute Notizen in dieser Hinsicht zu finden, z. B.: S. 36 — Angola, S. 80 — Ghana, S. 46 — Elfenbeinküste, S. 114 — Kenia. Die Hebung des Lebensstandartes ist doch, letzten Endes, das Kredo aller Bestrebungen der Entwicklungsländer. Dies gilt für die afrikanische Länder um so mehr, da sie infolge der langen und intensiven kolonialen Unterdrückung zu den rückständigsten Ländern der Welt zählen. Unter der Über-

schrift „Infrastruktur“ sind in einigen Fällen (Dahome, Gabun) Probleme erörtert, die sich nicht mit dem Begriff decken und eher als „Geschichte“ zu bezeichnen sind.

Mit besonderer Sorgfalt wird die Wirtschaftslage Ghanas und als Gegenstück Nigerias besprochen. Obzwar Nigeria der Bevölkerungszahl gemäss das grösste Land Afrikas ist — was nicht unbedingt ein wachstumsfördernder Faktor sein muss (S. 206) — hat dieses Land dem Ersteren gegenüber auch in wirtschaftlicher Beziehung objektive Vorteile schon mit der Unabhängigkeit geerbt. Von grösster Bedeutung ist hier der Umstand, dass Nigeria kein Monokulturland ist und einigermassen aus eigener Produktion die Ernährung der Einwohner bewältigen kann — eine Ausnahme, die die Regel bestätigt. Dieser Umstand muss sich selbstverständlich auch auf die Anschauungen der Wirtschaftler auswirken, welche eben die Basis des Wohlstandes in der Landwirtschaft erblicken. Davon lässt sich auch der Umstand ableiten, dass die Wirtschaft Nigerias nicht so deformiert ist, wie die Ghanas mit seinem Kakao. Abgesehen davon, nimmt Ghana unter den Staaten in Westafrika eine bedeutende Stellung ein. Diese Stellung verdankt es eben seiner unabhängigen Politik nach aussen wie im inneren des Landes und wird deshalb nicht nur von den Völkern Afrikas, sondern auch von den Westmächten mit grossem Interesse verfolgt.

Es ist ausser Zweifel, dass alle Entwicklungsländer zur Verwirklichung ihrer Pläne mehr oder weniger auf ausländische Hilfe angewiesen sind. Es ist das Verdienst der UdSSR und der sozialistischen Staaten, dass auch in dieser Hinsicht neuer Wind weht. Finanzielle Hilfe, sowie auch technische Hilfe werden zu beiderseitig günstigen Bedingungen gewährt. Steht diese Hilfe an die Entwicklungsländer heute noch der von den Westmächten gewährten dem Umfange nach, weist sie doch eine stete Steigerung (S. 149) auf und hat für die Entwicklungsländer einen höheren Wert insofern, da sie unmittelbar gegen die sehr oft mit Bedingungen verknüpften Hilfeleistungen der westlichen Länder einen Druck ausübt.

Für die jungen Staaten Afrikas können die Ergebnisse, welche die Vereinigte Arabische Republik in den vergangenen 10 Jahren auf wirtschaftlichem (Industrialisierung) und sozialem Gebiet erreichte, von Vorbild sein. Dass dieses Ergebnis in erster Reihe der Wirtschaftspolitik der VAR (Nationalisierung, Verstaatlichung, Planung der Wirtschaft, staatliche und halbstaatliche Unternehmen, Gründung von Genossenschaften usw.), sowie der wirtschaftlichen und technischen Hilfe der UdSSR und anderer soz. Staaten zu verdanken ist, geht aus der vorliegenden Wirtschaftsstudie, wenn auch mit Bedenken geäussert, eindeutig hervor (S. 388—396). Dabei sind so wichtige Faktoren, wie der Suez-Kanal und der Assuan-Damm für die Wirtschaft der VAR sind, überhaupt nicht erwähnt!

Sind auch beinahe alle bedeutende Wasserkraftwerke und Projekte einzelner Länder bei der Beurteilung ihrer Wirtschaft in Betracht gezogen (Volta-River Projekt; Niger-Damm; Kariba-Damm; Oranjeprojekt; Semman-Damm und Gezira Scheme usw., wobei Ersteres für die Wirtschaft Ghanas und Letzteres für die Wirtschaft des Sudan in ihrer Bedeutung ausführlich behandelt worden), blieb der Assuan-Damm, obwohl er von lebenswichtiger Bedeutung für die VAR ist, unbeachtet.

Das der Suez-Kanal für die Westmächte keine angenehme Erinnerungen wachruft, steht ausser Zweifel. Damit wird aber seine Bedeutung für den Welthandel und für die VAR nicht geringer. Vor der festgesetzten Zeit wurde den Aktionären die Entschädigung ausbezahlt. Seit Wiederaufnahme des Betriebes des Suez-Kanals wird seine Kapazität dauernd vergrössert und ausgebaut und dementsprechend steigen auch die Einnahmen.

Nach der Meinung des Autors „kann im grossen und ganzen das einfache Volk — diese Bezeichnung dürfte immerhin für mehr als 75% der Einwohner zutreffen — seine bescheidenen Bedürfnisse zu Preisen befriedigen, die mehr oder weniger im Einklang mit den Verdienstmöglichkeiten stehen“ (S. 395—6). Ein besseres Zeugnis könnte wohl keiner Regierung eines Entwicklungslandes ausgestellt werden. An all diesen Erfolgen ändert auch nicht die Bemerkung in Bezug auf die Verschlechterung von Beziehungen zu einigen kapitalkräftigen Staaten Westeuropas, die für die Entwicklungshilfe in Frage kämen, dass „nämlich nur noch wenige sind, denen Aegypten auch heute noch etwas bedeutet“ (S. 396). Für diese „Wenigen“ hat aber die VAR heute schon Viele, die zusammen mehr bedeuten!

Wird auf Seite 206 der geplante jährliche Zuwachs des Sozialproduktes von 4—5% (Nigeria) als relativ hoch bezeichnet, so sei bemerkt, dass dieser Zuwachs nicht einmal genügt, um den Entwicklungsländern mit den entwickelten Ländern Schritt zu halten. Um den Fortschritt zu sichern und eine Aufholung des Rückstandes der Entwicklungsländer zu gewähren und zwar in einem Menschenalter, müsste dieser Prozentsatz mindestens noch einmal so hoch sein. Dies scheint eine Utopie, aber die Erfahrungen der sozialistischen Länder beweisen, dass diese Möglichkeit besteht.

Südafrika, nach den Darstellungen auf S. 295—322 scheint ein Land zu sein, in dem es keine Rassenverfolgung gibt. Auch ist keine Notiz über die ehemalige deutsche Kolonie Südwestafrika zu finden, obwohl dieses Gebiet als Mandat des Völkerbundes nach dem I. Weltkrieg von der Südafrikanischen Union bis 1946 verwaltet und dann von dieser widerrechtlich annektiert wurde.

Wo der Autor sich nicht von einseitigen Erwägungen und Beurteilungen leiten lässt, vermittelt dieses aktuelle Buch eine solide Quelle von Informationen (statistisches Material, Bilanzen, Budgets), Entwicklungsproblemen und Entwicklungsplänen, sowie einen Einblick in die Finanz und Handelspolitik der behandelten afrikanischen Staaten und Kolonien.

František Brunner

Bolinger, Dwight L., *Generality, gradience, and the all-or-none*. 's-Gravenhage, Mouton et Co 1961, 46 pp.

Der Autor beschäftigt sich in diesem schmalen, jedoch inhaltsreichen Werk eigentlich mit der Lösung eines einzigen Problems von verschiedenen Aspekten aus gesehen: Sind alle sprachlichen Erscheinungen diskontinual (d. h. ist es möglich, sie in den Gegensatz „Vorhandensein — Nichtvorhandensein eines Anzeichens zu stellen, oder sind sie als zweibedeutsam (ambiguity), oder in dem Kontrast „A versus B“ zu verstehen), oder sind einige von ihnen auch kontinual? Er selbst versucht durch eine Analyse von Beispielen aus der Semantik und Phonologie zu beweisen, dass bei gewissen Einschränkungen „the act of symbolizing human experience calls for breaking an over-all continuum into fragments that are discontinuous with respect to other fragments but constitute small continua within themselves“ (45). Mit dieser Folgerung muss man zweifelsohne übereinstimmen. Wenn wir sie jedoch annehmen, müssen wir auf jeden Fall die Auffassung der Spracheinheiten als Kontinua ablehnen. Wenn wir z. B. „farbig“ sagen, um ein Beispiel des Autors aufzugreifen, denken wir keinesfalls: „farbig, also entweder gelb, oder rot, oder braun... usw.“, sondern wir folgern: „farbig ergo kein weisser (Mensch),“ oder: „farbig ergo kein schwarzes (Metall)“ u. ä. Kurz gesagt, wir überlegen nicht im

Inneren der Spracheinheit als Kontinua, sondern wir gliedern eine Spracheinheit im Gegensatz zu anderen Spracheinheiten aus. Es ist klar, dass die Fälle von Homonymie und Synonymie selbstständig behandelt werden sollten.

Die Fälle der Generalität (generality) in der Grammatik haben ihre Besonderheiten, auf die der Autor mit seiner sehr feinfühligem Analyse der Ausnutzung der Zeitformen in der englischen Fragestellung hinwies. Da möchte ich jedoch darauf aufmerksam machen, dass es möglich ist, eine Spracherscheinung nicht nur vom Standpunkt eines konkreten Textes aus zu sehen (und dies ist der Standpunkt, von dem der Autor, scheint es, grundsätzlich ausgeht), sondern auch vom Standpunkt eines Sprachsystems und Sprachausdruckes, weiter von dem Standpunkt aus, dass objektiv dieselbe Spracherscheinung von verschiedenen Zugehörigen zu derselben Sprache verschieden gewertet werden kann, dass also der Sprachcode aller Zugehörigen zu derselben Sprache nicht immer der gleiche ist. Dass würde ergeben, dass die Gegensätze, die sich im Rahmen eines Sprachsystems geltend machen, nicht immer auch im konkreten Text Gültigkeit haben, bzw. dass dieselbe Erscheinung bei verschiedenen Zugehörigen zu derselben Sprache einen jeweils verschiedenen Platz im Sprachcode einnehmen kann. Das bedeutet aber, dass die Gegensätze der Spracheinheiten im Text verschiedenartig in Erscheinung treten können. Diese Erwägungen wollen keinesfalls die vom Autor behandelte Problematik schmälern, es scheint vielmehr, dass der Umkreis des Problems noch weiter ist, als es der Autor in seiner investiven Studie gedrängt dargestellt hat. Denn die Fragen, die das gegenseitige Verhältnis der Spracheinheiten und ihres inneren Inhaltes betreffen, sind Grundfragen der Sprachanalyse und Sprachsynthese.

Eugen Pauliny

Chomsky, Noam, *Syntactic structures*. (Janua Linguarum Nr. IV). 's-Gravenhage, Mouton et Co. 1957, 116 pp.

Avram Noam Chomsky, Professor der Linguistik am Massachusetts Institute of Technology, ist einer der bedeutendsten Schüler von Zellig S. Harris, des Begründers der Transformationsgrammatik, und man kann heute bereits behaupten, dass Chomsky einer der bedeutendsten zeitgenössischen Vertreter der strukturellen Linguistik ist. Chomsky's Strukturlinguistik können wir so auffassen, dass sie die Erforschung der natürlichen Sprachen mit dem Ziel ihrer Überformation in die abstrakten Kode verfolgt, die als formale Modelle der natürlichen Sprachen dienen können; daraus ergibt sich eine genauere Bestimmung der zu charakterisierenden Grammatik und eine genauere Bestimmung der strukturellen Analyse der Sprache.

Sein Buch „*Syntactic structures*“ enthält eine formelle Beschreibung der syntaktischen Struktur der Sprache, die auf der Grundlage der naheverwandten Konzeptionen der mathematischen Logik und ihrer Termini beruht. Chomsky entwickelt eine selbständige Konzeption der linguistischen Theorie und der Theorie der Sprache. In seinem Buch sind die Theoreme nur formuliert; ihre Begründung die eine genaue Kenntnis der modernen mathematischen Logik voraussetzt, finden wir in seinen anderen Arbeiten.¹

¹ N. Chomsky, *Three models for the description of language*. Inst. Radio Engrs. Transactions on Information Theory, IT-2, 113—124. Proceedings of the symposium on information theory, Sept. 1956; — *On certain formal properties of grammars*. Information and Control, 2, 1959. — *Linguistics, Logic, Psychology and Computers*. Lectures given at the University of Michigan, 1958.

N. Chomsky and G. A. Miller, *Finite state languages*. Information and Control, I, 2, 1958, 91—112.

Chomskys grosser Verdienst besteht darin, dass er das Ziel und den Sinn der linguistischen Theorie ganz neu formulierte. Diese neue Formulierung des Zieles der linguistischen Theorie steht in vollem Zusammenhang und in Übereinstimmung mit den Grundprinzipien der modernen Logik der Wissenschaft. Vom Standpunkt der gegenwärtigen Logik der Wissenschaft ist für jede wissenschaftliche Theorie nicht die Beschreibung ihrer Entstehungsgeschichte von grundlegender Wichtigkeit, sondern ihre Funktion, die als Mittel für die Erkenntnis der Wirklichkeit dient. Die Geschichte aller konkreten Wissenschaften bestätigt dieses Prinzip der modernen Logik der Wissenschaft. Soll demnach die Linguistik eine theoretische Wissenschaft sein, so muss sie nach dem Vorbild aller anderen theoretischen Wissenschaften verfahren. Und das bedeutet, dass die Linguistik alle analytischen Methoden, die als Mittel für einen Aufbau der linguistischen Theorie dienen sollten, ablehnen muss, und an ihrer Stelle soll sie Hypothesen postulieren. Diese Methode können wir als eine hypothetischdeduktive bezeichnen. Die analytischen Methoden können in der theoretischen Linguistik nur als Hilfsmethoden gebraucht werden. Die linguistische Theorie ermöglicht es, eine axiomatisierte Darstellung der Grammatik natürlicher Sprachen zu vermitteln, eine Darstellung also, in der alle Aussagen über die Struktur einer Sprache in streng logischem Zusammenhang stehen. Die Grammatik, ähnlich wie andere wissenschaftliche Theorien, leitet mit Hilfe hypothetischer Konstruktionen, die ausserhalb der Sprache definiert werden (Phonem, Morphem, Phrase), auf Grund des beobachteten Mitteilungskorpus allgemeingültige Regeln ab, und setzt die Formen der Sätze ausserhalb des Korpus voraus.

Die Grammatik der Sprache ist nach Chomsky eine Theorie der Struktur der Sprache. Jede wissenschaftliche Theorie entsteht durch eine bestimmte Anzahl von Beobachtungen, formuliert dann die so gewonnenen Wahrnehmungen in allgemeingültigen Gesetzen, welche das gegenseitige Verhältnis der beobachteten Phänomene erklären und es ermöglichen, neue, noch unbekannte Erscheinungen vorauszusagen. Die Grammatik ist nach Chomsky die Theorie der Sprache schlechthin. Sie stellt eine selbständige Disziplin dar, die von der Semantik unabhängig ist.

Chomsky lehnt eine solche Theorie der Sprache ab, die erst dann die Grammatik einer Sprache entdeckt, wenn sie durch den Korpus gegeben ist, das heisst, er lehnt eine solche Theorie ab, die eigentlich keine Theorie ist, denn sie ist nur ein System von methodischen Schritten. Er fordert die Schaffung einer Theorie der Sprache, die imstande wäre, die verschiedenen „Grammatiken“, d. h. die verschiedenen „Einrichtungen“ die zur Bildung der Sätze im Hinblick auf deren Adäquatheit und Einfachheit dienen, auszuwählen. Als Grundthesen seiner linguistischen Theorie gibt Chomsky folgendes an. Als Sprache bezeichnen wir eine (endliche oder unendliche) Anzahl von grammatisch richtigen Sätzen. Die Grammatik einer Sprache ist eine solche kybernetische Einrichtung, welche die Fähigkeit hat, formell richtige Sätze (oder nur Sätze) zu produzieren. Die grammatische Richtigkeit wird intuitiv durch den Träger der Sprache bestimmt. Grammatisch richtige Sätze können in Bezug auf ihren Sinn sinnlos erscheinen. Eine und dieselbe Sprache kann verschiedene Grammatiken, je nach ihrem Modell entstehen lassen. Die allgemeine, generative linguistische Theorie, die eine Metatheorie der Sprache ist, bestimmt, welche der bestehenden Grammatiken der Sprache, die auf der Basis einer endlicher Zahl von Sätzen der natürlichen Sprache geschaffen wurden, der betreffenden Sprache adäquat ist. Die Kriterien für eine solche Grammatik und Theorie der Sprache sind: 1. Vollständigkeit; die Grammatik soll alle Sätze der Sprache in Betracht ziehen; 2. Adäquat-

heit; die grammatische Struktur des Satzes, den die Grammatik hervorbrachte, muss ihrer semantischen Struktur entsprechen; 3. Einfachheit; diese Eigenschaft hängt mit der erklärenden Kraft der Grammatik zusammen. Nach diesen Aspekten prüft Chomsky einige Grammatiken des Englischen, die von verschiedenen mathematischen Modellen ausgehen. Das Modell für die eine Grammatik ist der Theorie der Wahrscheinlichkeit entnommen, die mit Hilfe und durch Applikation der Markoffprozessen auf den Sprachkorpus die Sätze bildet. Es geht um die sog. Markoffketten, in deren der eine Bestandteil die Wahrscheinlichkeit des Vorkommens des weiteren Bestandteiles bestimmt. Die Sprache, welche so entsteht, nennt Chomsky „Sprache mit der endlichen Zahl der Zustände“ (a finite state language). Eine andere der möglichen Grammatiken, die Chomsky kritisch prüft, ist die sog. Grammatik der unmittelbaren Konstituente (immediate constituent). Mit Konstituent bezeichnet man jeden Bestandteil des Kontextes, der eine Bedeutung trägt. Der unmittelbare Konstituent ist jener Konstituent, der unmittelbar eine Konstruktion bildet, also morphematische oder syntaktische Einheiten. Die Kombination und der Konstituent sind wechselseitig zusammenhängende Begriffe für verschiedene Grössen und die ihnen entsprechenden Teile. Diese Grammatik besteht aus der Gesamtsumme von Einheiten oder Symbolen und aus der Gesamtsumme der Regel, die diese Symbole entfalten. Diese Grammatik kann eine grössere Anzahl der Sätze als die erstere produzieren. Aber trotzdem ist sie dem Englischen nicht adäquat, weil sie bei der Analyse der komplizierten und zusammengesetzten Sätze unbrauchbar erscheint.

Der berechtigten Forderungen nach Sprachadäquatheit, nach möglichster Vollständigkeit und Einfachheit kann ein Modell der generativen, synthetischen Grammatik nach dem Vorbild der mathematischen Modelle der Automaten genügen. Chomskys *Transformationgrammatik* stellt das bisher am besten durchgearbeitete Modell der generativen Grammatik dar. Alle bisherigen Grammatiken brachten endlos lange Sätze hervor, nach der Theorie der Transformation ein Satz entsteht durch Derivation eines Satzgliedes oder Satzkernelnes. Die Hauptfrage der generativen Transformationsgrammatik ist die Frage nach der Transformation, durch welche die Sätze entstanden sind. Diese Grammatik ist eine Parallele zur Theorie des Codes der Transformationstheorie, welcher die einzelnen Mitteilungen (messages) bildet. Der Hauptbegriff dieser Theorie ist die Auffassung des Grammatikalischen. Nach Chomsky ist grammatisch nicht das, was in der Menge von Aussagen schon enthalten ist, sowie auch nicht das was in den natürlichen Sprachen sinnvoll erscheint. Auch die Sätze, die noch nicht ausgesagt sind, sind grammatisch und die Sinnlosigkeit ist relativ und historisch bedingt; grammatisch ist auch das nicht, was der Statistik nach als wahrscheinlich erscheint. Unter grammatisch verstehen wir all das, was der Konstruktion adäquat ist, demnach alles, was der allgemeinen formalisierten Theorie der sprachlichen Struktur entspricht.

Chomsky bereichert die Beschreibung der Struktur um ein generatives Moment: er stellt die Frage, aus welchen unmittelbaren Elementen ein weiteres Element entsteht.

Chomsky hat gezeigt, dass die Grammatik einer Sprache als ein deduktives System aufgefasst werden kann, mit dessen Hilfe alle Sätze einer Sprache abgeleitet werden können. Dieses System kann so formuliert werden, dass es aus lauter Implikationen der Form $X \rightarrow Y$ besteht, die als Regeln mit der Bedeutung „ersetze X durch Y“ zu interpretieren sind, wobei Y die Ketten von Symbolen bezeichnet. Einige Symbole dienen zur Bezeichnung der Wörter und der Morpheme und die anderen zur Bezeichnung der syntaktischen Gruppen und Einheiten. Ausserdem

ist ein Zeichen # nötig, das den Anfang und das Ende eines Satzes bezeichnet. Das von Chomsky vorgeschlagene Modell einer Grammatik hat drei Gruppen von Regeln; diese Gruppen entsprechen den verschiedenen Ebenen der Sprache und bilden eine Hierarchie. Die Formationsregeln, die die Konstitutenstruktur der Sätze ableiten und die oberste Stufe der Hierarchie bilden; die Einheiten, die in den Formationsregeln auftreten, können nicht hierarchisch geordnet werden. Die Transformationsregeln, die die Konstitutenstruktur bestimmten Änderungen unterwerfen oder von ihr komplizierte Sätze ableiten. Alle durch Transformationsregeln abgeleiteten Strukturen können durch entsprechende Formationsregeln gebildet werden. Alle Sätze, die nur solche einfache Strukturen enthalten, die ohne Anwendung der Transformationsregeln abgeleitet werden können, bilden die Kernsätze der Sprache. Daraus ergibt sich, dass die Einteilung in Kernsätze und abgeleitete Sätze (sekundäre Sätze) von der Ableitung bestimmter Strukturen durch Formations- oder Transformationsregeln abhängt. Einmal ist die erklärende Kraft der grammatischen Theorie grösser, wenn nämlich Transformationsbeziehungen statt der blossen Konstitutenstruktur angegeben werden, ein andermal wird sie einfacher und zwar dann, wenn komplizierte Strukturen als Ableitungen von einfacheren erklärt werden können. Die morphophonemischen Regeln, die die durch Formations- und Transformationsregeln gebildeten Morphensequenzen in die entsprechenden Phonemketten verwandeln. Diejenigen Regeln, welche die richtige Wortfolge, die Wortgrenzen und die bestimmten Selektionszusammenhänge einführen, die sogenannte Ordnungsregeln, erscheinen teils als obligatorische Transformationsregeln, teils als morphophonemische Regeln.

Chomsky stellt die Prinzipien der Transformationsgrammatik auf die breite Grundlage der allgemeinmethodologischen Prinzipien der Bildung der linguistischen Theorie. — In der Transformationsgrammatik verwirklicht sich die Produktion der Sätze folgendermassen: Wird die Transformationsgrammatik als ein kybernetisches System aufgefasst, so geht daraus hervor, dass sie als Ausgangspunkt das Symbol S hat, welches zur Bezeichnung des Satzes eines nichtgegliederten globalen Elementes dient; nach den Regeln des Modells der unmittelbaren Konstituenten (immediate constituent) wird dieses Symbol in die terminale Bestandteile dieses Modells umgewandelt; die Gesamtsumme dieser terminalen Bestandteile bildet den Kern der Sprache. Zum Kern der Sprache gehören einfache Sätze, die wir als Kernsätze (kernel sentences) der Sprache bezeichnen. Durch Anwendung von Transformationsregeln können wir aus den Kernsätzen neue Bestandteile produzieren, und zwar nach den Regeln von den unmittelbaren Konstituenten. Diese Bestandteile werden weiter durch morphophonemische Regeln durchkodiert. Dies ist das allgemeine Schema der Transformationsgrammatik. Eine solche Beschreibung genügt zur Synthetisierung jedes sprachlichen Textes und genügt jeder Forderung nach strenger Formalisierung. So können alle Sätze einer Sprache von beliebiger Länge und jeder Art der Kompliziertheit durch eine kleine Anzahl von Kernsatzstrukturen, Grundtransformationen und Regeln beschrieben werden. Das ganze System der Transformation besteht aus drei Etappen: 1. die Bestimmung der Struktur des Satzes, 2. seine Umformung durch die Transformation, 3. die Überführung der Einheiten mit bestimmter grammatischer Distinktion auf die morphophonemische Ebene. Es gibt viele Typen von Transformationen. Chomsky unterscheidet insgesamt 24 Typen verschiedener Transformationen. Auf Grund einer einzigen Kernstruktur kann man nicht nur einzelne sondern auch mehrere Transformationen durchführen. Ihre Reihenfolge ist nicht ohne Bedeutungsunterschied; sie muss nach den Regeln

verwirklicht werden. Diese Nacheinanderfolge von Transformationen, von welchen jede die Verwirklichung der vorhergehenden voraussetzt, bildet eine Algebra der Transformationen.

Chomsky stellt sich gegen jede Überschätzungen der Linearität der einzelnen Pläne, wie es bei den Distributionalisten der Fall war, welche absolute Formulationen und scharfe Kontraste ohne fließende Übergänge hervorgerufen haben; er geht noch weiter als die Ansichten, welche die Satzstrukturen durch die Termini der Morphemen und Phonemen formulierten. Alle formalisierten Versuche der Theorie der Grammatik bedeuten notwendigerweise eine gewisse Relativisierung des Grammatikalischen; fasst immer ist auch das Verhältnis zwischen der grammatischen Kategorie und der grammatischen Konstruktion einseitig. Daraus geht eindeutig hervor, dass eine folgerechte formalisierte Theorie der Sätze der konkreten Sprache nicht möglich ist. Die Form auf der einen Seite und die Bedeutung auf der anderen Seite haben so viele hochkomplizierte Beziehungen, dass es fasst nicht möglich ist, beide Momente parallel oder gleichzeitig zu formalisieren, die Tendenz weist immer den Weg des kleinsten Widerstandes auf, d. h., sie hat es immer auf die Hervorhebung der formellen Eigenschaften des sprachlichen Mechanismus abgesehen, sowie auch die relative Unabhängigkeit der formalen Struktur; dies auf Kosten der Semantik (manchmal nimmt der Deskriptionismus selbst die semantisch distinktiven Merkmale nicht in Betracht). Chomskys Theorie, die eine gesunde Mitte in allen Richtungen vertritt, und sein Modell enthalten keinerlei Beschreibungen der semantischen Verhältnisse, die den einzelnen Elementen und ihren Beziehungen zu Grunde liegen. Es kann aber angenommen werden, dass eine derartige vollständige formale Beschreibung einer Sprache die semantischen Untersuchungen und die exakte Beschreibung der Semantik erleichtert. Die semantische Beschreibung wird wesentlich erleichtert, wenn man sie auf die Kernsätze einschränkt, und man alle anderen vermittlels der Transformationen auch semantisch auf sie bezieht. In diesem Falle muss die moderne Linguistik immer enger mit den benachbarten Disziplinen, wie der Statistik, der rationalen Psychologie und Neuropsychologie, sowie der Theorie der Kommunikation und Information und der Mathematik überhaupt in enge Verbindung treten. Die wissenschaftliche Linguistik muss sich der Ergebnisse der deskriptiven Methoden bedienen, vermittlels sie, schon bekannter Tatsachen korrigierten, um die Erfordernisse eines exakten Sprachstudiums zu befriedigen. — In der strukturellen Linguistik sowie in den anderen theoretischen Wissenschaften nimmt die Frage nach dem Verhältnis des Modelles zu der durch ihn darzustellenden Wirklichkeit eine zentrale Stellung ein — in diesem Falle das Verhältnis des linguistischen Modells zur linguistischen Realität. — Für jedes Modell als Mittel der modernen theoretischen Forschung und in diesem Sinne auch für das linguistische Modell sind gewisse komplexe Prozesse und Relationen charakteristisch. Dann ist es wissenschaftlich klar, dass jedes Modell bei all seiner Komplexität nicht alle Aspekte der zu bestimmenden Wirklichkeit widerspiegeln kann; jede Wirklichkeit erfordert verschiedene wissenschaftliche Modelle und auch verschiedene Methoden ihrer Heranbildung. Und gerade die derzeitige Situation der strukturellen Linguistik wird durch eine grosse Variabilität von Standpunkten und Kriterien in Hinsicht auf die sprachadäquaten Modellkonstruktionen charakterisiert. Diese Tatsache weist darauf hin, dass die Bemühungen N. Chomskys um die Schaffung einer strukturellen Linguistik und einer Theorie der Grammatik, neben den hervorragenden Arbeiten von E. Sapirs, M. Bloomfields, L. Hjelmsevs, Y. Bar-Hillels, Z. Harris, einen wichtigen Beitrag und Fortschritt bedeuten. Die Leistung Chomskys zeigt sich schon heute als sehr schöpferisch und

entwicklungsfähig.² Auch R. B. Lees diskutiert in seinem Artikel³ einige Möglichkeiten der Reformierung Chomskys Transformationsgrammatik auf der Basis der neuesten Ergebnisse der strukturellen Linguistik; er kommt aber zur Überzeugung, dass bisher kein besseres Modell der Transformationsgrammatik existiert. Die Mängel der Transformationsgrammatik sind innerhalb der Komponente der Konstituentenstruktur zu suchen und nicht innerhalb der eigentlichen Transformationskomponente der Grammatik, wie es oft die Kritiker behaupten.

Vincent Šabík

Churchward C. M., *Tongan Dictionary*. (Tongan-English and English-Tongan.) London, Oxford University Press 1959, XIV + 836 pp.

Compiling the dictionary, C. M. Churchward used some works already existing.¹ However, all the material was checked and considerably enlarged by the author with the help of his Tongan informants. The number of entries in each of both parts of the dictionary exceeds 20,000 units. Thus, the work under review belongs to the most extensive Polynesian dictionaries.

All loan-words occurring in both written and spoken Tongan are included and marked by a special sign. In our opinion it was of no use to insert into the dictionary Tonganized forms of English words that have not yet been assimilated but the assimilation of which is probable.

The dictionary is arranged in strict alphabetical order. In accordance with this principle all derivations and even complex idiomatic expressions (e.g. proverbs Malanga-fai-'i-he-ate, to speak when it is too late; 'U'ulu 'u'ulu, 'asi mai ko e kumā, a big noise that ends in little or nothing) are treated as separate lexical units.

The glottal stop figures as the last member of the alphabet.

Many entries are supplied with numerous references to derived words, synonyms and most grammatical words with references to proper sections of the Tongan Grammar² by the same author. The dictionary contains also proper nouns (e.g. mythological characters, names of gods) and geographical denominations.

All entries are furnished with indices designating their word-class affiliation. It

² Sehe z. B. die Abhandlung I. I. Revzins, *On some questions of distributional analysis and its further formalization* (im Russischen), — *Problemy strukturnoj lingvistiki*, Moskva, AN SSSR, 1962, 13—21. Revzin untersucht die Möglichkeit einer Synthese der generativen Grammatik von Chomsky und einer distributiven Grammatik bei der Bildung eines „set-theoretical model's“ der Sprache. — Bei einer anderen Gelegenheit hat I. I. Revzin, Autor des einschlägigen Buches *Modeli jazyka* (Moskva 1962) ein analytisches Modell der Transformationsgrammatik entwickelt; er versucht das syntagmatische Modell der Transformationsgrammatik mit einem paradigmatischen zu verbinden. Er bedient sich dabei der Methode von O. S. Kulagina der Mengentheorie bei der Bestimmung von grammatischen Kategorien.

³ *On reformulating transformations-grammars* (im Russischen), *Voprosy jazykoznanija*, 6, 1961, 41—50.

¹ A. Colomb, *Dictionnaire toga-français et français-toga-anglais*... Par les missionnaires Maristes, Paris, Chadenat 1890.

S. W. Baker, *An English and Tongan Vocabulary, also a Tongan and English Vocabulary*... Auckland, Wilsons — Horton 1897.

E. E. V. Collocott, *Supplementary Tongan Vocabulary*. *Journal of the Polynesian Society* Vol. 34, Wellington 1925.

² C. M. Churchward, *Tongan Grammar*, Oxford University Press, London 1953.

is a pity that the author's word-class division is to some extent based on concepts of the traditional grammar.

In conclusion it may be said that a dictionary so carefully compiled is the kind of material most necessary for both synchronic and diachronic studies in Austronesian linguistics.

Viktor Krupa

Harawira K. T., *Teach Yourself Maori*, Wellington, A. H. et A. W. Reed 1961, 121 pp.

Reed A. W., *Concise Maori Dictionary*, Wellington, A. H. et A. W. Reed 1962, 159 pp.

Reed, A. W., *A Dictionary of Maori Place Names*, Wellington A. H. et A. W. Reed 1961, 144 pp. Price 12s 6d.

Thanks to attention having been given to problems bound up with Polynesia, New Zealand ranks high among countries carrying out investigation of Oceanic cultures and languages. Scientific publications are sponsored chiefly by the Polynesian Society. Books intended for the laymen's public are published by A. H. et A. W. Reed.

All the three publications under review supplement each other to a considerable extent. Of course, a clue to both of the dictionaries is Harawira's textbook. The readers will be pleased to find in the textbook numerous idiomatic details that are of great importance for a thorough knowledge of Maori. The first 16 lessons are divided into an explanatory part, conversation, vocabulary, and exercises. Lessons 17—20 consist of texts. The textbook contains a comparatively rich and diverse lexical material. As far as the theoretical basis is concerned, it must be said that the author adheres to concepts of the traditional grammar. Being a kind of generative grammar, a textbook should proceed from stating various linguistic units (and their classes) and give rules of their correct combinations in texts. In the future no textbook of a Polynesian language will do without a broad application of modern didactic methods and theoretical conclusions arrived at by Biggs and Elbert.¹ As several lessons include rather long passages of Maori texts, the students would appreciate a more detailed discussion of the syntax.

A. W. Reed's Concise Maori Dictionary consists of a Preface, Pronunciation, Maori-English and English-Maori dictionary, and Proverbial Sayings. The total number of entries amounts to 5 thousand. Only the most frequent words in their commonest meanings have been taken into account by the author. Preface runs to 10 pages. The author correctly points out to considerable divergences in Maori and English vocabulary systems which result from deep differences in cultures. Borrowing is an extremely productive process and that is why Reed considers an unrealizable task the inclusion of all loanwords into the present dictionary. None the less, the loanwords form a considerable stratum in the dictionary. Unlike the great Williams' dictionary² it contains numerous neologisms and nomina propria

¹ Bruce Biggs, *The Structure of New Zealand Maori*. Anthropological Linguistics III, 3, 1961. Samuel H. Elbert—Samuel A. Keala, *Conversational Hawaiian*, University of Hawaii, Honolulu 1955.

Mary Kawena Pukui—Samuel H. Elbert, *Hawaiian-English Dictionary*, University of Hawaii Press 1957.

² Herbert W. Williams, *A Dictionary of the Maori Language*, R. E. Owen, Wellington 1957.

(names of gods, heroes, canoes, etc.). Words pertinent to the old Maori culture (e. g. *hangi*, *umu*, *Reinga*, *Ringatu*) are given short descriptive explanations. Students find in both sections of the dictionary Maorized forms of European personal names, names of Maori lunar months, days of the month, birds, trees, fish, etc. It is thought that the due regard for the vocalic quantity and passive forms of general bases (i. e. verbs) would have greatly added to the use of this handbook.

As distinct from both above discussed publications the Dictionary of Maori Place Names is destined also for persons who are not going to master the Maori language. Among some 2000 entries there are found not only geographical denominations but also explanations of numerous objects of the native culture. Every Maori name is followed by its literal translation and references to the mythology and traditions. Unfortunately the geographical location is given in rather rare cases only. A variety of entries are supplied with illustrations.

Let us hope that Reed's activities in publishing books on Maori subjects will be successfully continued and that modern scientific methods will take their proper place in all the future publications.

Viktor Krupa

Haywood John A., *Arabic Lexicography*, Leiden, E. J. Brill 1960. VI+141 S.

In seiner Arbeit behandelt der Autor die Geschichte der arabischen Lexikographie von den Anfängen bis zu ihrem heutigen Stand. Das Buch beginnt mit einem verhältnismässig allgemeinen Kapitel über die lexikographischen Traditionen der antiken Völker Asiens und Europas. Er macht den Leser z. B. mit der griechischen, indischen Lexikographie bekannt, um dann davon ausgehend mit seinen Erläuterungen der Entstehung der arabischen Lexikographie zu beginnen. Es geht ihm auch darum, auf mögliche Einflüsse der antiken auf die arabische Lexikographie hinzuweisen. Indirekt hängt mit diesem Kapitel das letzte Kapitel des Buches zusammen, worin nachgeforscht wird, inwiefern die arabischen lexikographischen Arbeiten die lexikographischen Traditionen des mittelalterlichen Europas beeinflussen konnten. Dieses Kapitel behandelt auch die Geschichte der zweisprachigen Wörterbücher der arabischen und der europäischen Sprachen.

Den Kern der Arbeit bilden meiner Meinung nach die Kapitel, die unmittelbar die Geschichte der arabischen Lexikographie betreffen. Bei der Analyse und Darstellung der verschiedenen Wörterbücher verfährt der Autor nicht chronologisch, sondern er behandelt diejenigen Autoren gemeinsam, die bei der Zusammenstellung ihrer Stichwörter nach denselben formellen Kriterien verfahren. Er analysiert z. B. die Wörterbücher, die nach der Methode Chalilas, dann die Wörterbücher nach dem System *rhyme arrangement* und schliesslich die Wörterbücher, die nach modernen Kriterien d. h. nach dem ersten Wurzelkonsonanten zusammengestellt wurden. Ausser der Analyse der formellen Seite der Wörterbücher widmet sich der Autor auch ihrem Inhalt, er macht den Leser mit dem Charakter der Wörter bekannt, die das Wörterbuch beinhaltet. Der Autor analysiert richtig die Entstehung der arabischen Lexikographie, die neben den Forschungen in der arabischen Grammatik zu einem festen Bestandteil der Erforschung und Erschliessung der arabischen Sprache wurden.

Diese kurze Arbeit vermittelt uns einen guten Überblick über die Geschichte der arabischen Lexikographie. Sie forscht nach dem Hintergrund und den gesellschaftlichen Bedürfnissen, auf Grunde derer sie sich entwickelt hat. Sie ist eine brauchbare

Basis für tiefschürfendere Forschungen über die einzelnen arabischen lexikographischen Arbeiten. Meiner Meinung nach ist das Buch vor allem Arabisten oder mindestens Semitologen gewidmet, denn ein Nicht-Arabist würde sich wohl schwerlich z. B. in dem Kapitel über das Wörterbuch „Kitab al-Ain“ orientieren können. Ausserdem muss derjenige, der sich in den Wörterbüchern der arabischen Sprache auskennen will, wenigstens einigermaßen das grammatische System dieser Sprache beherrschen.

Die Fragen des Verhältnisses zwischen den arabischen lexikologischen Methoden und den lexikologischen Traditionen der anderen Völker (Griechen, Inder) sind schwer zu beantworten, da sich ihre Erforschung äusserst schwierig gestaltet. Der Autor behandelt diese Problematik zu Beginn seiner Arbeit. Aber aus seiner Analyse der eigentlichen Geschichte scheint hervorzugehen, dass sich die arabischen lexikologischen Theorien und Methoden immanent entwickelt haben (obgleich es zu Beginn fremde Einflüsse gab) ähnlich wie die grammatischen Ansichten der arabischen Grammatiker (wenn dieser Vergleich möglich ist und wir eine progressive Entwicklung des arabischen grammatischen Denkens nach dem Tode Sibawaihi zulassen). Zu wenig Aufmerksamkeit widmet der Autor scheinbar der gegenwärtigen Situation in der arabischen Lexikographie, die besonders seit der schnellen Entwicklung der modernen arabischen Schriftsprache kritisch ist.

Ján Pauliny

Horne Elinor C., *Beginning Javanese*. (Yale Linguistic Series 3). New Haven and London, Yale University Press 1961, XXXIII, 560 pp.

Although the reviewed book is „only“ a text-book, it may well be said that it is the best book ever written on Javanese. The author, an American, had two advantages over the European author whose work is mentioned in this volume (Teselkin): firstly, she has been guided in linguistics by B. Bloch, secondly, she was not under the influence of the Dutch tradition. The book is not a mere text-book—which would accept the current views on the grammar of the given language as it is usually done—but it is also a complete linguistic analysis presented for pedagogical purposes. This fact is the greatest merit of the book and within the field of Indonesian linguistics its influence will doubtless exceed the limits of Javanese. Nevertheless, from the pedagogical point of view its use will be somewhat more limited as it is not designed for the use of autodidacts (XXIV), and, unfortunately, the number of native teachers is nowadays still insufficient. This fact makes itself felt, however, only in the exercises, where greater attention is paid to the conversation under the teacher's guidance than to other kinds of exercises. On the other hand each grammatical item is separately exemplified by a number of sentences along with an English translation so that in order to acquire a reading knowledge of the language the book may be well used even by autodidacts.

The lessons are preceded by a general introduction about Javanese and a chapter about pronunciation. The departure from the traditions begins already in this part: The author distinguishes 8 vowels, each with its own variants, and 27 consonants. The consonants *mb*, *nd*, *ndj* and *ngg* are interpreted as single sounds „not separable into a nasal sound plus another sound“ (XXXI). The digram *lh* is monophonemic, too. These facts will perhaps result in rendering less valuable the numerical data in Uhlenbeck's pioneering work,¹ but they will not impair its heuristic value. The

¹ Uhlenbeck E. M., *De structuur van het Javaanse morpheem*, Bandoeng 1949.

marking of vowels seems to be somewhat „assymetrical“ (è, é, o, ô), in the transcription of consonants the author preferred the current way used in Indonesian linguistics.

The text-book contains 24 lessons of which each sixth is a review. The lessons have parallel sections in *Ngoko* and *Krama*, and a third section for *Exercises*. The first two sections consist of *Basic Sentences* which are compiled so as to serve as an elementary introduction into Javanese culture. They are presented both in Javanese and English in two columns; the new words are placed under the English sentences. This way of presentation is very lucid and comfortable for students and in the main it must be appreciated that the principle of clarity of arrangement is maintained throughout the whole book. Often a sentence may be found here in which almost all of the words are new. This is quite natural in the first lessons, but it need not be the case in the further ones. In a new type of sentence it is better to use known words as these make its understanding easier, and to place the new words into the *Supplementary Vocabulary* which is included in each lesson and is meant rather as a guide for the teacher. The exercises of *Pronunciation* are only in *Ngoko* section. The last part of these sections consists of the *Analysis* presenting in 20 lessons the whole Javanese grammar. The original way of the presentation results quite naturally from the above-mentioned advantages of the author. It is desirable, if this analysis adjusted to a current type of grammar would be published separately in book form. The Javanese-English and the English-Javanese vocabularies added to the book include each about 3,000 catchwords.

The author prepares „Intermediate Javanese“ which will illustrate in continuous texts the principles exposed in the first volume. Both books will be one of the most valuable contributions to the study of Indonesian languages.

Gabriel Altmann

Ingarden Roman, *Untersuchungen zur Ontologie der Kunst*. (Musikwerk — Bild — Architektur — Film), Tübingen, Max Niemeyer Verlag 1962, 341 S.

Die moderne Ästhetik hat schon mehrmals darauf aufmerksam gemacht, dass die Kunst eine „eigene Form der Existenz“ hat, die sich von der des menschlichen Seins oder der Natur unterscheidet (H. Lützel). Eine dauernde Aufgabe der „Ontologie der Kunst“ bleibt darin bestehen, das ästhetische Wesen der Kunst zu enthüllen und ihre Spezifität zu bestimmen. Diese Frage erörterte Hegel, ebenso wie Dessoir. Zur Erforschung „des Problems des Ästhetischen“ kehrte die Philosophie immer wieder zurück, wobei sie das Problem im besonderen aus zwei Aspekten erläuterte: vom psychologischen Gesichtspunkt (z. B. R. Müller—Freienfels), oder vom soziologischen (z. B. J. Mukařovský). An dieses Problem traten auch Theoretiker heran, die sich der phänomenologischen Methode bedienten (z. B. M. Geiger, E. Hirt, J. Pfeiffer). In diesen Gedankenkreis muss man auch den polnischen Denker und Ästhetiker Roman Ingarden reihen, der eine tiefe philosophische, in Husserls Schule gewonnene Kultur aufweist.

Auf dem Gebiet der Literaturtheorie bemühten sich mehrere Autoren, das Wesen eines literarischen Kunstwerkes zu definieren, so z. B. R. Petsch, E. Ermatinger, Fr. Strich, J. Petersen, E. Staiger. Roman Ingarden tat dies in dem hervorragenden Buch „Das literarische Kunstwerk“.¹ Die durchdringende und aufklärende Analyse

¹ Die erste Auflage stammt aus dem Jahr 1931, die zweite, neu bearbeitete und ergänzte, aus dem Jahr 1960 (Max Niemeyer Verlag, Tübingen, S. 430).

der Struktur eines literarischen Werkes² lässt das Buch zu einer der bedeutendsten Arbeiten auf dem Gebiet der Ontologie der Kunst werden. Roman Ingarden arbeitete hier eine präzise Methode aus, die er dann auf alle Gebiete der Kunst applizieren konnte. Die diesbezüglichen Ergebnisse sind in den „Untersuchungen zur Ontologie der Kunst“ enthalten, in denen Ingarden Studien über Musik, Malerei, Architektur und Film zusammenfasste.³ Die Vorzüge seiner phänomenologischen Methode, die hier mit nahezu virtuoser Logik ausgearbeitet ist, bestehen darin, dass er sich nicht abstrakt mit den einzelnen Künsten (z. B. mit Musik oder Malerei als solcher) befasst, sondern mit der konkreten ästhetischen Struktur des Kunstwerkes. Er hält sich streng an den ästhetischen Aspekt und aus dieser Perspektive prüft er konsequent das gegebene Objekt in seiner künstlerischen Totalität: er analysiert es von allen Seiten mit einer ausserordentlich logischen Systematik, er zerlegt es in seine Grundelemente und Beziehungen, welche die spezifische ästhetische Struktur des Kunstwerkes als selbständige ontologische Erscheinung bestimmen.

Am Beispiel eines musikalischen Kunstwerkes, dem Ingarden seine am gründlichsten ausgearbeitete Studie widmete, kann man vielleicht am besten seine Methode illustrieren. Er geht dabei von einer dreimaligen Feststellung aus: Das musikalische Werk existiert unabhängig vom psychischen Sein seines Schöpfers; das musikalische Werk darf nicht mit seiner Vorführung identifiziert werden; das musikalische Werk ist etwas anderes als die Partitur (4,25). Er unterscheidet nämlich prinzipiell im Kunstwerk den materiellen Gegenstand vom ästhetischen Objekt.⁴ Als materieller Gegenstand verändert sich das Werk in das ästhetische Objekt, wenn man zu ihm eine spezifische, von der theoretischen oder praktischen Einstellung abweichende Einstellung annimmt: die ästhetische Einstellung. Dieser ästhetischen Einstellung erteilt Ingarden, scheinbar von F. Brentano und E. Husserl belehrt, den Charakter eines intenzionalen Aktes (210). Für ihn stellt bei einem Kunstwerk die spezifische Struktur den primären Fakt dar. Ein musikalisches Werk ist im Grunde eine komplizierte akustische Erscheinung. Seine Grundlage bilden „Töne, tonale Gebilde verschiedener Art, aber auch Geräusche — wie uns darüber besonders Werke der sogenannten ‚neuen‘ Musik belehren“ (28—29). Es unterscheidet sich von anderen akustischen Erscheinungen (z. B. von der menschlichen Sprache, vom Vogelgesang) in verschiedener Hinsicht: „Die Unterschiede können in drei verschiedenen Richtungen gesucht werden: sie können 1. auf einer *besonderen Ordnung* der Töne und ihrer Mannigfaltigkeit im Zusammensein und in der Aufeinanderfolge beruhen, 2. auf dem Auftreten in dem Musikwerke irgendwelcher ganz *neuer Faktoren*, die von Tönen, Tongebilden, Geräuschen usw. verschieden sind, 3. auf etwas *Spezifischem*, was jedes Musikwerk und sogar jede Phase des Musikwerkes von den akustischen Signalen und Naturerscheinungen wesentlich unterscheiden würde“ (29). Dabei wird seine

² Besonders im 2. Teil des Buches *Der Aufbau des literarischen Werkes*, S. 25—336.

³ Zeitlich und methodologisch knüpfen diese an *Das literarische Kunstwerk* an, in dessen III. Teil (*Ergänzungen und Konsequenzen*) er schon die Problematik der Theater- und Filmkunst, sowie der pantomimischen Kunst untersuchte. (*Das Theaterstück*, S. 337—343; *Das kinematographische Schauspiel*, S. 343—349; *Die Pantomime*, S. 349—350). In den *Untersuchungen zur Ontologie der Kunst* analysiert Ingarden am gründlichsten die musikalische Kunst (*Das Musikwerk*, S. 3—136) und die bildende Kunst (*Das Bild*, S. 139—253). Auf wesentliche Art erläutert er auch die Problematik der Baukunst (*Das Werk der Architektur*, S. 257—315) und der Filmkunst (*Der Film*, S. 319—341).

⁴ Dasselbe gilt auch vom Kunstwerk in der Malerei; auch hier besteht ein Unterschied zwischen der materiellen Grundlage und dem ästhetischen Überbau (139, 207—208). Ingarden illustriert dies anschaulich an Beispielen der Architektur (264—265).

ästhetische Struktur einerseits von akustischen Elementen („die drei Momentkategorien der Melodie, der Harmonik und des Rhythmus“, 61), andererseits von nicht-akustischen Elementen gebildet: „*immanente Zeitstruktur* des Musikwerkes“ (63), „die Erscheinung der *Bewegung* (z. B. der sich entwickelnden Melodie)“ (66), „die sogenannten ‚Formen‘ der Ton- bzw. Klanggebilde ... eine bestimmte Gestalt der melodischen Linie, ihre bestimmte Gliederung, die Gliederung der harmonischen Gestaltungen“ (71—2). Mit der künstlerischen Struktur eines Werkes sind unmittelbar „die emotionalen Qualitäten“ (73) und „die ästhetischen Wertqualitäten“ (85) verbunden. Von den ersteren kann es drei Arten geben: „a) die im musikalischen Kunstwerk eventuell auftretenden (wie, das ist eben die Frage) rein emotionalen *Qualitäten*; b) die durch das Musikwerk eventuell *ausgedrückten Emotionen* (Gefühle), unabhängig davon, wessen Gefühle es sind, die des Komponisten oder die des Virtuosen, und ob sie reale Gefühle oder bloss vorgestellte (eventuell ‚hineingefühlte‘) Gefühle sind; c) die emotionalen Zustände bzw. Gefühlserlebnisse des *Zuhörers*, die er unter der Wirkung des gehörten, ausgeführten Musikwerkes hat, bzw. mit denen er auf das gehörte Musikwerk *reagiert*“ (73). Auch die anderen Qualitäten kann man auf drei Gebieten suchen: 1. „Ästhetisch wertvoll sind lediglich die ‚formalen‘ Momente des Kunstwerkes ... 2. der ‚Inhalt‘ (die Materie, der Gehalt) des Werkes — ... 3. eigentümliche Zusammenordnungsbeziehung der ‚formalen‘ und ‚inhaltlichen‘ Momente desselben“ (86). Der Begriff des ästhetischen Wertes — Ingarden definiert ihn sehr prägnant besonders im Zusammenhang mit einem Kunstwerk der Malerei (247—8) — ist ein sehr komplizierter Fakt. Die allgemeine ästhetische Struktur von Kunstwerken spezifiziert Ingarden laut Anzahl und Art ihrer „Schichten“. Für das literarische Werk ist charakteristisch, dass es „vielschichtig“ ist: es kommen vor: „1. die Schicht der Wortlaute und der auf ihnen sich aufbauenden Lautgebilde höherer Stufen; 2. die Schicht der Bedeutungseinheiten verschiedener Stufen; 3. die Schicht der mannigfaltigen schematisierten Ansichten und Ansicht-Kontinuen und -Reihen und endlich 4. die Schicht der dargestellten Gegenständlichkeiten und ihrer Schicksale.“⁵ In der Musik ist es umgekehrt: „Dem Musikwerk ist die *mehrschichtige* Struktur und die *polyphonische* Harmonie *heterogener* ästhetischer Wertqualitäten, wie sie im Falle des literarischen Kunstwerkes vorliegt, überhaupt ganz fremd. Für literarische Werke dagegen (und in gewissem Grade auch für Werke der Malerei und der Plastik) ist sie charakteristisch und ergibt sich eben aus der Heterogenität des Materials, aus dem die verschiedenen Schichten dieser Werke gebaut sind. Dem widerspricht es nicht, dass es in dem Musikwerk neben den Tönen und echten tonalen Gebilden verschiedener Art noch mannigfache nicht-tonale oder überhaupt nicht-akustische Faktoren gibt. Die letzteren sind aber mit den Tönen und den Tongebilden aufs engste und ohne jede Distanz verwachsen. Das Musikwerk bildet ein Ganzes, dessen Einheitlichkeit und Zusammengefüghtheit unvergleichlich höher ist, als dies in irgendeinem literarischen Werke möglich wäre“ (32). Die Analyse der einzelnen Arten der Kunst führt Ingarden zur „vergleichenden Analyse“, mit deren Hilfe er dann die Eigenheit der einzelnen Gebiete der Kunst spezifiziert. Bei diesem Vergleich erscheint ihm das Gebiet der bildenden Kunst ganz anders als die Sphäre der Tonkunst: „Das Bild als Kunstwerk der Malerei weist die verhältnismässig grösste Verwandtschaft mit dem Film, bzw. mit dem Theaterschauspiel auf. In den beiden letzteren sind — wie im darstellenden Bild — die beiden Schichten der dargestellten Gegenstände und

⁵ „Das literarische Kunstwerk“, 1962, X. 26.

der Ansichten vorhanden, nur sind die Rekonstruktionsmittel der Ansichten in jedem der Fälle anders: im Bilde die Farbpigmente auf einem Hintergrund und die Technik des Malers, im Film die Mittel der Photographie und im Theaterschauspiel reale Dinge auf der Bühne, insbesondere die Schauspieler, deren Aussehen und Spiel die Konstruktion konkreter Ansichten nach sich zieht. Abgesehen davon könnte man vielleicht sagen, dass das Bild ein Teilsystem der mehrschichtigen Struktur des Theaterschauspiels, bzw. eine bestimmte Phase des Filmschauspiels bildet. Es fehlt in ihm die Doppelschicht der Sprache. Gerade deswegen aber gibt es beträchtliche Unterschiede im Aufbau derjenigen Schichten, die in den beiden anderen Arten von Kunstwerken anscheinend die gleichen sind. Das Darstellungsmittel, sowie die konstitutive Basis des rein literarischen Werkes bildet ausschliesslich die Doppelschicht der Sprache, infolgedessen werden die Ansichten in ihm nur paratgehalten, sie sind im allgemeinen sehr schematisch und oft verschwommen, dafür aber treten oft viele verschiedene Ansichten eines und desselben Gegenstandes auf“ (229–30). Auch in der Architektur, die Ingarden nicht nur einseitig aus dem *Gesichtspunkt* der Gestaltung des Raumes, wie ehemals Hermann Cohen⁶ oder Richard Müller-Freienfels⁷ sieht, findet er einen „zweischichtigen Aufbau“ vor (268–280). Aus dem Gesichtspunkt der inneren Anordnung erscheint Ingarden auch der Film, den er im System der Kunst zwischen Literatur und Malerei einzu-reihen trachtet, als sehr kompliziertes Gebilde (325). Wie das ehemals schon G. E. Lessing in *Laokoon oder über die Grenzen der Malerei und Poesie* (1767) oder M. Dessoir in *Ästhetik und allgemeine Kunstwissenschaft* (1923) begründeten, ist die Literatur im Grunde genommen eine Zeit- und die Malerei eine Raumkunst. Von einer solchen Feststellung geht auch Ingarden aus, obwohl er sich bewusst ist, dass der Film diese beiden Prinzipien kombiniert. Die Malerei, die einseitig an eine räumliche Gestaltung gebunden ist, kann „immer nur ein Moment eines Vorgangs“ (326) sein. Der Film, diese synthetische Kunst, wie sie Léon Moussinac⁸ charakterisierte, hat unvergleichlich breitere Möglichkeiten: „Ein Film... zeigt einen gewissen Vorgang in seiner *vollen* Entwicklung — oder wenigstens dessen wichtigsten Etappen, die seine volle Entfaltung verständlich machen...“ (326). Das Vorführen einer Handlung im ganzen Geschehen haben der Film und das Theater gemein (ebenso die Literatur). Weisen sie also keinen Unterschied auf? Ja, es gibt sogar einen sehr tiefen Unterschied, auch wenn Ingarden nicht darauf hinweist; dieser entspringt aus den neuen formalen Prinzipien und aus der neuen formalen Sprache, die gegenseitig das Spezifikum des Films aus-machen. Béla Balázs, der hervorragende Ästhetiker für Fragen der Filmkunst, wies darauf hin, dass im Theater der Zuschauer „die gespielte Szene räumlich einge-teilt, also zur Gänze sieht“, „stets aus einer bestimmten, unveränderten Ent-fernung“ und dass „die ‚Einstellung‘ des Zuschauers (sein Blickwinkel, seine Perspektive) unverändert bleibt“. Im Film hingegen gelten ganz andere visuelle Prinzipien: „1. wechselnde Entfernung zwischen Zuschauer und Szene innerhalb ein und derselben Szene: hieraus ergibt sich eine wechselnde Grösse der in Rahmen und Komposition des Bildes Platz findenden Szene; 2. Aufteilung des totalen Bildes der Gesamtszene in Detailbildern; 3. die auch innerhalb der Szene wechselnde Einstellung (Blickwinkel, Perspektive) von Detailbildern; 4. der Schnitt, das ist das Einfügen der zerlegten Details in eine geordnete Reihe, in der nicht nur ganze Szenen ... aufeinanderfolgen, sondern auch Aufnahmen kleinster Einzelheiten

⁶ *Ästhetik des reinen Gefühls*, II, 1912, S. 195–204.

⁷ *Psychologie der Künste, Handbuch der vergleichenden Psychologie*, II, 1922, S. 295–296.

⁸ M. L'Herbier, *Intelligence du cinématographe*, Paris 1946, S. 118.

innerhalb einer Szene. Aus diesen erstet, wie aus zeitlich nacheinander gelegten Würfeln eines Zeitmosaiks, die Szene als Ganzes. Das ist die Montage, der Schnitt.“⁹ Obwohl Ingarden einigen wichtigen ästhetischen und noetischen Momenten des Films (seiner Struktur, seinem Verhältnis zur Realität, dem Raum, der Zeit usw.) Beachtung schenkt, vertieft er sich nicht in die spezifischen Probleme, mit denen sich die Ästhetik gerade in der Filmkunst befasst (R. Arnheim, J. Epstein, E. Iros, B. Balázs, A. Malraux, S. M. Eisenstein, E. Lindgreen). Im Zusammenhang mit den Fragen der Filmkunst beachtet er nicht einmal das Problem, das er in Bezug auf das literarische, musikalische, bildliche und architektonische Kunstwerk löste, nämlich die Frage der sogenannten Konkretisation. Mit diesem Termin formulierte er einen Fakt von weitgehender Bedeutung, den er im Buch „Das literarische Kunstwerk“¹⁰ zum erstenmal definierte: die unausgesetzte Verwandlung und Aktualisierung eines Kunstwerkes als ästhetischen Objekts im Bewusstsein der Konsumenten — z. B. das Kapitel *Das Problem der Identität des musikalischen Werkes, Das Bild und seine Konkretisationen, Das architektonische Kunstwerk und seine ästhetischen Konkretisationen*. Diese Verwandlung wird jedoch nicht nur von innen, sondern auch von aussen bestimmt. Das Kunstwerk stellt eine dynamische Einheit verschiedener Komponenten dar, deren gegenseitige Beziehungen und Gruppierungen sich im Rahmen der ästhetisch organisierten Struktur unaufhörlich ändern, weil ihr Wert und ihre Bedeutung im System der Normen, die im kulturellen Bewusstsein der Gesellschaft gelten, ständig wechseln. Eben darin besteht ein gewisser Gefahrenherd der phänomenologischen Methode: sie betont vor allem die immanente Dynamik des Kunstwerkes und isoliert es von der gesamten kulturellen und sozialen Dynamik. Beim Prüfen des Problems der Konkretisation dient Ingarden als primärer Ausgangspunkt das individuelle Bewusstsein des einzelnen Menschen und nicht das kollektive Bewusstsein der Gesellschaft, in dessen Rahmen die ganze Struktur der Kunst und überhaupt der ästhetischen Kultur existiert und sich in diesem Rahmen entwickelt. So z. B. gelangte auch D. Erinkmann bei der Bestimmung der Phänomenologie des ästhetischen Gegenstands zur Feststellung, der ästhetische Gegenstand sei ein „intentionales Objekt eines ästhetischen Erlebens“, „ein Gegenstand sui generis“, „kein leibhaftig wirklicher, sondern ein bildhafter Gegenstand“, „ist nicht identisch mit dem schönen Gegenstand“, „ist nicht identisch mit dem Kunstwerk“¹¹ usw. Hier wird wieder die gesellschaftliche Bedingtheit des Ästhetischen, auf die schon die strukturalistische Ästhetik (besonders Jan Mukařovský) aufmerksam machte, ausser Acht gelassen. Einerseits sind die Veränderungen des ästhetischen Objekts dadurch hervorgerufen, dass das Kunstwerk im gesellschaftlichen Bewusstsein als semantisches Zeichen funktioniert: *Toute oeuvre d'art est un signe autonome, composé: 1. d'une 'oeuvre-chose' fonctionnant comme symbole sensible; 2. d'un 'objet esthétique', déposé dans la conscience collective, et qui fonctionne comme 'signification'; 3. d'un rapport à la chose signifiée, rapport qui vise non une existence distincte — puisqu'il s'agit d'un signe autonome — mais le contexte total des phénomènes sociaux (science, philosophie, religion, politique, économie etc.) du milieu donné*.¹² Andererseits ist auch die ästhetische Funktion

⁹ *Der Film. Werden und Wesen einer neuen Kunst*, Wien 1949, S. 22—23.

¹⁰ *Das Leben des literarischen Werkes*, S. 353—380.

¹¹ *Zur Phänomenologie des ästhetischen Gegenstandes*, Deuxième Congrès international d'esthétique et de science de l'art, Paris 1937, I, S. 62—63.

¹² J. Mukařovský, „*L'art comme fait sémiologique*“, „Actes de Huitième Congrès international de philosophie à Prague 2—7 septembre 1934“, Prague 1936, S. 1071.

nicht fix an das Kunstwerk gebunden: „1. Das Ästhetische ist für sich weder eine reale Eigenschaft der Dinge, noch ist es eindeutig an einige ihrer Eigenschaften gebunden. 2. Die ästhetische Funktion der Dinge ist aber auch nicht ganz in der Macht des Individuums, obwohl von rein subjektivem Standpunkt aus was immer ohne Rücksicht auf seine Gestaltung ästhetische Funktionen annehmen (oder im Gegenteil einbüßen) kann. 3. Die Stabilisation der ästhetischen Funktion ist Sache des Kollektivs und die ästhetische Funktion ist ein Bestandteil der Beziehung des menschlichen Kollektivs zur Welt. Deshalb ist eine bestimmte Einteilung der ästhetischen Funktion in der Welt der Dinge an eine bestimmte gesellschaftliche Gesamtheit gebunden. Die Art und Weise, wie sich diese gesellschaftliche Gesamtheit zur ästhetischen Funktion verhält, bestimmt schliesslich auch die objektive Gestaltung der Dinge zwecks ästhetischer Wirkung, sowie das subjektive ästhetische Verhältnis zu den Dingen.“¹³ Die phänomenologische Methode, wie sie auch M. Geiger repräsentierte (*Phänomenologische Ästhetik*, 1925), bemühte sich zwar, das Kunstwerk „nicht in ihrer zufälligen und individuellen Bedingtheit, sondern in ihren Wesensmomenten“¹⁴ hervorzuheben. Aber durch ihren Vorgang hermetisierte sie in bedeutendem Mass dieses Kunstwerk und schloss es in einen bestimmten abstrakten Raum ein; dadurch isolierte sie es von einem konkreten Raum im dynamischen Prozess des kulturellen und gesellschaftlichen Lebens der Menschheit.

Ingardens Bemühungen auf dem Gebiet der Ästhetik könnte man zusammenfassend als Versuch einer phänomenologischen Umgestaltung der psychologischen Ästhetik auf Grund einer logisch-ontologischen Konzeption charakterisieren. Diese ist einer weiteren Entwicklung fähig, sie kann weiter bearbeitet werden — auch in der Richtung modernen semantischer Methoden. Oder noch präziser: Ingardens phänomenologische Methode, die der Psychologie der Kunst nicht widerspricht, kann man auch mit soziologischem und semantischem Aspekt organisch verbinden und ergänzen; auf dieser Methode kann ein integrales ästhetisches System aufgebaut werden, das fähig ist, die Kunst in ihrer ästhetischen, kulturellen, sowie gesellschaftlichen Totalität zu erfassen. Ähnlich wie Max Dessoir, Emil Utitz oder Nicolai Hartmann, stellte auch Roman Ingarden ein eigenes System der Ästhetik auf: ein originelles, durchdachtes, ganzheitliches System. Als Theoretiker vereint er eine ungewöhnliche Gabe analytischer Fähigkeiten mit einer ausserordentlichen abstrakten Fähigkeit der schöpferischen Synthese. Die Logik, die Durchdringlichkeit und die Neuartigkeit seiner Ansichten machen ihn zu einem der bedeutendsten europäischen Philosophen der Kunst des 20. Jahrhunderts. Seine *Untersuchungen zur Ontologie der Kunst* müssen — gemeinsam mit den Arbeiten *Das literarische Kunstwerk* und *Über das Erkennen des literarischen Kunstwerks* (Lwow 1937) — zu den grundlegenden Werken der modernen Ästhetik und der Literaturwissenschaft gereiht werden.

Július Pašteka

¹³ J. Mukařovský, *„Estetická funkce, norma a hodnota jako sociální fakty*, Praha 1936, S. 20.

¹⁴ E. Meumann, *Einführung in die Ästhetik der Gegenwart*, Leipzig 1939, S. 44.

Iorss Martial, *Le tahitien a la portée de tous*. Grammaire tahitienne, Paris, Société des Océanistes, Musée de l'Homme 1961, 105 pp.

The reviewed textbook continues in the line of the long dated French Oceanistic tradition as known from the works of Picpus,¹ Grézel,² Jaussen,³ Dordillon,⁴ Bataillon,⁵ Lovy and Bouge,⁶ Vernier⁷, and others. Iorss' work can be considered to have a purely practical aim. The author expressed this in the preface by words: „Il met le tahitien a la portée de tous“. The textbook is designed first of all for the French reader and the explanation of phonetics, morphology and syntax is based upon terms, notions and categories that the average Frenchman acquires in his basic education. In many places allowance has been made for the lay-reader and this has impaired linguistic exactness of the textbook. The following quotation illustrates this: „Les différents traducteurs du dialecte tahitien ne sont pas d'accord sur l'existence des verbes auxiliaires... Aussi, pour la clarté et la simplicité de notre étude nous admettrons leur existence“ (pp. 55—56). In this particular case, as well as in others, Iorss' tendency towards the practical surpasses the permissible limit.

A geographical survey introduces the reader to the study of Tahitian. The author writes about discoverers of Tahiti and instructs us on its administrative division as well as its original division into regions. The geographical survey is supplemented by a map of Tahiti in the scale 1 : 250,000. A short survey of history is added. Further, the author mentions the religion of the Tahitians and the history of colonization. He acknowledges the damaging influence of English missionaries who forced upon the aborigines strange way of life and so helped towards their extinction. The geographical and historical survey forms a very important part of the textbook. This should be so in every textbook of languages spoken by peoples belonging to distant cultures.

The present textbook is divided into twelve chapters. After the first chapter (L'alphabet — voyelles dures, douces et longues. Les accents) the author introduces us to the individual „parts of speech“. These are also dealt with in the remaining chapters with the exception of the 5th (De la formation des phrases) and 12th (Divers).

As already mentioned the 1st chapter deals with „letters“. The advice of not taking any notice of „accents“ (i. e. vocalic quantity and glottal stop) is given, regardless that these might be considered as being of the utmost necessity in a textbook of colloquial Tahitian language. Further, we consider the French way of marking the glottal stop with the help of l'accent grave (') over the following vowel as impractical. If this vowel is long (This being marked by l'accent circonflex) it should then be written with two diacritical marks, causing thus graphical difficulties. More advantageous would be to mark the glottal stop by an apostrophe such as in Hawaiian or Samoan.

The author finds in Tahitian the same parts of speech as in French: „Il existe en

¹ *Essai de la grammaire de la langue des Iles Marquises par un prêtre de la Société de Picpus*, Valparaiso 1857.

² S. M. Grézel, *Dictionnaire futunien-français avec notes grammaticales*, Paris 1878.

³ Mgr. T. Jaussen, *Grammaire et dictionnaire de la langue maorie, dialecte tahitien*, Paris 1898.

⁴ I. R. Dordillon, *Grammaire et dictionnaire de la langue des Iles Marquises*. Paris 1904.

⁵ P. Bataillon, *Langue d'Uvea*, Paris 1932.

⁶ R. D. Lovy—L. J. Bouge, *Grammaire de la langue tahitienne*, Paris 1953.

⁷ Ch. Vernier, *Introduction à la langue tahitienne*, Paris 1959.

tahitien neuf espèces de mots qui sont: l'article, le nom, l'adjectif, le pronom, le verbe, l'adverbe, la préposition, la conjonction et interjection" (p. 17). It is difficult to agree with his statement that „Dans l'analyse des noms il y a lieu de distinguer le genre, le nombre, les cas et la déclinaison" (p. 20). However, later the author partly corrects himself at least as far as the gender is concerned. Theoretically, he does not recognize the cases in Tahitian but uses them in practice (see for instance p. 20). In the chapter on verbs (p. 7) the author says: „Les verbes sont modifiés de quatre façons différentes: en nombre, en temps, en mode et en voix". This is true only as to the voice which is expressed by suffixes of a flective type, and partly as far as the number is concerned because, according to the author, certain verbs in dual undergo doubling (e.g. 'imi — 'i'imi, haere — hahae). But modal and tense meanings are expressed by particles and not by changes in the verbs. The author is right in saying that „Les verbes ne sont pas modifiés par les personnes qui sont indiquées par le sujet" (p. 55). As far as verbal particles are concerned the author realizes that here the temporal meaning is linked with tense and modal meaning. Among adverbs are included all words which syntactically determine the predicate (e.g. atea, roa, rahi, iti), words which in other Polynesian languages are usually included into a special class of locatives (e.g. roto, raro, mua, muri), affirmative and negative particles and expressions (e.g. e, papu, oia mau, aore, eiaha, eita) as well as some others.

The group of prepositions partly overlaps with adverbs. In a list of the former can be found many which also figure among adverbs (e.g. muri, roto, mua). Chapters on conjunctions and interjections are composed mainly of only a list of words.

Each lesson is formed by a part called Lecture containing common sentences and expressions. From the didactical point of view it would be advisable if these sentences would consist of only words and forms already known and explained. Otherwise only a person with at least a slight knowledge of another Polynesian language could without difficulties follow the sequence of explanations and Lectures. Further, the textbook lacks a comprehensive Tahitian-French vocabulary.

However, the reviewed book, in spite of its deficiencies, can serve as an informative handbook for anyone who wants to master elementary knowledge of this Polynesian language.

Viktor Krupa

Jakobson Roman, *Linguistics and poetics*. „Style in language", ed. by Th. A. Sebeok, Massachusetts Institute of Technology 1960. P. 350—377.

„Linguista sum; linguistici nihil a me alienum puto".
„...poetry is a kind of language".

R. Jakobson

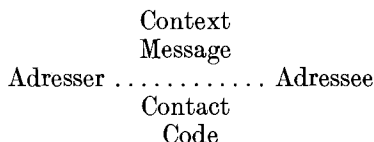
Professor Jakobson von der Harvard University in Cambridge (USA) hat seine Gedanken über die Grundlagen der Poetik mehrmals geäußert. Eine klare und übersichtliche Darstellung der Ansichten dieses bedeutendsten Linguisten unserer Zeit über das Verhältnis der Poetik zur Linguistik bringt die vorliegende Studie,¹ die den Abstand zwischen Sprachtheorie und Literaturtheorie zu beseitigen versucht.

¹ Diese Abhandlung hat Jakobson zweimal vorgetragen: auf der Konferenz über die Fragen des Sprachstils, die Thomas A. Sebeok in Bloomington vom 17. bis 19. April 1958 organisierte; ein anderes Mal auf der Konferenz über die Poetik in Krynica (Polen), die vom 17. bis 20. Oktober 1958 stattfand.

Sie fusst auf der Voraussetzung eines engen Kontaktes zwischen Literatur und Sprache, die schon für den russischen Formalismus der zwanziger Jahre so bezeichnend war. Jakobsons Deutung dieses engen Kontaktes sieht jetzt ganz anders aus, als es damals der Fall war. („Formalismus — das ist die Krankheit des Strukturalismus“). Die russischen Formalisten betrachteten die Poesie als eine Domäne der poetischen Funktion der Sprache, die Nicht-Poesie als eine Domäne der kognitiven Funktion der Sprache; solch einen Monismus der Funktion gibt es nach Jakobson nicht, wenn auch eine Funktion im Text immer als eine Domäne auftritt, dann neben ihr treten auch die anderen auf. Die Funktionen der Sprache sind nicht ausgeglichen, sie stehen nebeneinander unter einer Abstufung oder Hierarchie.

Diese linguistischerseits Bemühungen um die Schaffung einer Theorie der linguistischen Poetik gehen von der Überzeugung aus, dass die Sprache ein wesentlicher Bestandteil der verbalen Kunst sei, ja die Funktionen der Sprache seien selbst Elemente der verbalen Kunst. In seinem Vortrage nimmt R. Jakobson gegen jene Auffassungen Stellung, welche die Poetik als wertende Disziplin der Linguistik als beschreibender Disziplin gegenüberstellen. Diesen Unterschied leugnet er konsequent. Er fasst die Poetik als einen integralen Bestandteil der Linguistik auf. Objekt der Poetik ist die *differentia specifica* der verbalen Kunst in ihrer Beziehung zu anderen Künsten, wie auch zum anderen verbalen Geschehen. Die Linguistik wie auch die Poetik befassen sich mit verbalen Strukturen, und darum besteht zwischen ihnen ein innerer Zusammenhang. Die Linguistik ist imstande, die gesamte Problematik der Poetik in ihrem eigenen Bereich zu erklären. Jakobson betrachtet den Zusammenhang dieser Probleme vom Standpunkt der Theorie des Zeichens und Zeichensystems aus. So kommen die verschiedenen Funktionen der Sprache und der sprachlichen Mittel zur Geltung. Die Aufgabe einer Untersuchung und Unterscheidung der Funktionen des Sprachzeichens auf Grund verschiedener Ebenen des Phonems, des Wortes und des Satzes hat Jakobson neu aufgestellt. Die Abgrenzung von Sprache und Sprachkunst gegenüber anderen Zeichensystemen sowie die Abgrenzung der Poesie gegenüber anderen sprachlichen Funktionen innerhalb des Sprachlichen löst Jakobson mit Erfolg und zwar an Hand der Ergebnisse, welche die Theorie der Information bisher zeitigte, die sich in diesem Falle als eine verbindende theoretische Disziplin erwiesen hat, mit Hilfe derer auch komplexe Fragen gelöst werden können.

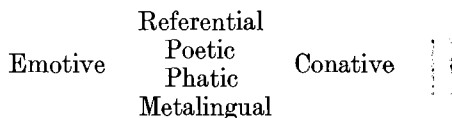
Jeder sprachliche Akt besteht aus folgenden Faktoren: Mitteilung (Nachricht, message), Expédient (Sender, adresser), Perzipient (Empfänger, adresee), Kontakt, Kontext und Kode. Das Schema dieser strukturbildenden Faktoren sieht folgendermassen aus:



In diesem Schema, das von der Theorie der Kommunikation und von Bühlers klassischem Modell der Sprache ausgeht, nehmen die Begriffe „Kontext“ und „Kontakt“ eine zentrale Stellung ein. Unter Kontext wird die Aussage im allgemeinen (message) verstanden; unter Kontakt versteht Jakobson jene physikalischen und psychologischen Verbindungen („Berührung“), mit Hilfe derer Expédient und Perzipient an der sprachlichen Kommunikation teilnehmen. Diese Bestandteile

einer Mitteilung sind notwendigerweise mit dem Kode durch eine innere Beziehung und mit der Mitteilung durch eine äussere Beziehung verknüpft. Ein Sprachvorgang verlangt die Benutzung eines für alle Teilnehmer gemeinsamen Kodes.

Jeder von diesen sechs Faktoren bestimmt eine Funktion der Sprache. Diese sechs Funktionen der sprachlichen Kommunikation (six basic aspects of language) bilden die verbale Struktur der Sprache. Ihre strukturelle Erfassung als eine Hierarchie und eine Wechselseitigkeit der Zuordnung führt zu einer genauen Analyse der Struktur der sprachlichen Mitteilung und ihrer Informationskapazität. Die Beziehungen dieser Funktionen stellt Jakobson folgendermassen dar:



Diese Erforschung der Sprachfunktionen ist nicht ganz neu.² Sie geht im wesentlichen auf die Leistungen von Karl Bühler zurück, aber bei der Interpretation der Sprachfunktionen und ihres Verhältnisses hat Jakobson die Möglichkeiten der Auffassung um manche grundlegende Aspekte bereichert.

Die Dominante irgendeiner von diesen sechs Funktionen in einer sprachlichen Mitteilung wird durch sog. „Einstellung“ (set, ustanovka) bestimmt. — Die emotive oder expressive Funktion orientiert sich auf den Expedienten; sie dient zum Ausdrücken des Verhältnisses des Expedienten zu der Mitteilung; sie bedient sich verschiedener emotiver Kode der Sprache. Die vokative oder imperative Funktion (conative) entsteht durch die Einstellung auf den Perzipienten als Willensäusserung. Die Einstellung auf den Kontext ergibt kognitive Funktion (referential, denotative); die Einstellung auf den Kontakt bildet die falische Funktion (falic function, faktičeskaja funkcija nach dem Termin von B. Malinovski), die die Überprüfung des Kontaktes zum Ziel hat. Die Einstellung auf den Kod verbindet sich mit der metasprachlichen Funktion (die nach Tarskis Termin „metalanguage“ oder „object language“ mit der modernen Logik zusammenhängt); sie bedeutet eine Überprüfung oder Kontrolle der Gleichartigkeit des gemeinsamen Kodes. Und die für die Konzeption einer strukturellen Poetik grundlegende und wichtigste Funktion ist die poetische Funktion, die durch Einstellung auf die Mitteilung (ustanovka na soobščenie, im Unterschied von Mukařovskýs Auffassung der „Einstellung auf das Zeichen“) entsteht. Eben diese Funktion bewirkt, dass eine sprachliche Kommunikation ein verbales Kunstwerk sein kann.³

Jakobson hat die Stellung der poetischen Funktion innerhalb der anderen Funktionen der Mitteilung erforscht. Die poetische Funktion der Sprache ist nicht die einzige Funktion der verbalen Kunst, aber sie ist eine konstituierende Dominante.

² Mit den Fragen der Sprachfunktionen beschäftigt sich neuestens Karel Horálek, der im Sinne der Forschungen von Kainz, Zawadowski, Reformatiskij Primär- und Sekundärfunktionen unterscheidet. Für die Erforschung der poetischen Texte sind die sekundären Sprachfunktionen von grundsätzlicher Wichtigkeit. — In der Zeitschrift Slovo a slovesnost (21, 1960, 7) bemerkt er, dass er eine grössere Abhandlung über die Frage der Sekundärfunktionen vorbereitet.

³ Im Gegensatz zu Jakobsons Behauptung von Wichtigkeit der poetischen Funktion für die verbale Kunst unterscheidet Karel Horálek (Slovo a slovesnost 21, 1960, 4—7) die dichterischen Texte, die nur innerlich (inhaltlich, — er prägt den Begriff „innere Form“) geformt sind. Bei ihnen hat die Sprache im Grunde nur eine kommunikative, nicht ästhetische (poetische) Funktion.

Die Sprache der verbalen Kunst hat, ohne die kommunikative Funktion aufzugeben, eine zweite, mehr oder weniger ausgeprägte poetische Funktion. Sie tritt auch bei nicht poetischen Aussagen in Erscheinung, nicht aber als Dominante.

Eine der wichtigsten Fragen der linguistischen Kriterien der poetischen Funktion besteht darin, wie man das eigentlich Poetische, den spezifisch poetischen oder literarischen Charakter der verbalen Kunst bestimmen kann. Jakobson hat zu diesem Zweck sein bekanntes grundlegendes Modell einer sprachkünstlerischen Mitteilung geschaffen. Es besteht aus diesen zwei wichtigsten Operationen: aus der *Auswahl* oder *Selektion* und aus der *Kombination*. Diese zwei Triebkräfte treten bei jeder sprachlichen Konstruktion auf. Die Selektion geht von der Äquivalenz (Similarität und Assimilarität, Synonymität und Antonymität) der verschiedener Elemente aus („die metaphorische Kraft“); die Kombination bindet die Elemente der Struktur auf der Basis der Kontiguität („die metonymische Kraft“). Diese zwei Prozesse sind die wichtigsten Operationen in jeder Sprache und in jedem Sprachgebilde.

Die Selektion (Auswahl, Entscheidung) bedeutet eine Entscheidung zwischen zwei Möglichkeiten. Sie setzt voraus, dass die eine Möglichkeit für eine andere, welche der ersten in einer Hinsicht gleichwertig und in einer anderen Hinsicht ungleichwertig ist, eingesetzt werden kann. Selektion und Substitution sind zwei Erscheinungsformen derselben Operation. Die Selektion (und dementsprechend die Substitution) hat mit Grössen zu tun, die im Kode, nicht aber in einer gegebenen Mitteilung miteinander in Verbindung stehen, während im Falle der Kombination die einzelnen Grössen entweder im Kode oder in der Mitteilung miteinander in Verbindung treten.

Die Anwendung der Sprache zu irgendwelchem Zweck bedeutet eine Auswahl von bestimmten linguistischen Grössen und derer Kombination zu linguistischen Einheiten eines höheren Komplikationsgrades. Die Möglichkeiten der Auswahl der Kombinationseinheiten sind vorgegeben. Der Kod bestimmt die Grenzen der Kombinationsmöglichkeiten aller Merkmale. Mann kann von einer fortschreitenden Skala der freien Kombinationsmöglichkeiten sprechen, die in einer gegebenen Sprache ausgenutzt werden können. — Kombinationen von Bestandteilen (Sätzen, Wörtern, Phonemen usw.) eines Kontextes stehen miteinander im Kontiguitätsverhältnis, während beim Substitutionsverhältnis die Zeichen durch verschiedene Grade der Gleichartigkeit, die sich zwischen der Gleichwertigkeit der Synonyme und dem gemeinsamen Wesenskern der Antonyme bewegen, miteinander in Beziehung stehen. Jede sprachliche Einheit dient zugleich als Kontext für einfache Einheiten, bzw. findet ihren eigenen Kontext in einer komplizierten sprachlichen Einheit. Kombination und Kontextbildung sind zwei Erscheinungsformen derselben Operation. — Der Zusammenhang zwischen diesen Momenten in Bezug auf die poetische Funktion ist wie folgt ausgedrückt: „The poetic function projects the principle of equivalence from the axis of selection into the axis of construction“. In der verbalen Kunst kommt die Wechselbeziehung zwischen diesen beiden Elementen besonders zum Ausdruck. Da eine dieser beiden Beziehungen (Similarität und Kontiguität) in jeder sprachlichen Ebene auftreten kann, und zwar jede in positioneller oder in semantischer Hinsicht, bietet sich ein weiter Variationsbereich für mögliche Zusammenstellungen. Das Prinzip der Similarität bietet für die Poesie eine Grundlage. Die Prosa ist dagegen im wesentlichen durch die Kontiguität getragen. Deshalb ist für die Poesie Metaphorik und für die Prosa die Metonymik der Weg des geringsten Widerstandes. Nach der Art, wie ein Individuum diese zwei

Verbindungen (Similarität und Kontiguität) sowohl in positioneller als auch in semantischer Hinsicht verwendet, wie es sie auswählt, kombiniert und einordnet, kann man auf seinen persönlichen Stil schliessen.

Das Vorhandensein des einen oder des anderen dieser beiden polaren Prozesse (des metaphorischen und des metonymischen) ist nicht nur auf die verbale Kunst beschränkt; es tritt auch bei anderen semiotischen Systemen hervor.

Neben diesen Fragen erörtert Jakobson auch andere Teilprobleme der Poetik vom Standpunkt des linguistischen Strukturalismus. Er vertritt die Ansicht, dass ein einheitlicher Zusammenhang der Sprach- und Verslehre existiert, sodass alle Verselemente den sprachlichen Strukturen gehören und im Sinne ihrer Rolle die ihnen im Sprachsystem zukommen, zu werten sind, d. h. der Vers soll demnach durch die Phonologie analysiert werden. Jakobson ist der Meinung, dass auch eine rein linguistische Analyse wichtige Beiträge für die inhaltbezogene Forschung bringen kann. So kann man z. B. auch die Problematik der poetischen Gattungen linguistisch klarlegen. Die epische Dichtung orientiert sich auf die dritte Person und bedient sich der kognitiven Funktion; Lyrik bezieht sich auf die erste Person und geht von der emotiven Funktion aus; die dramatische Dichtung der zweiten Person hat eine konative Funktion. — Jakobson betont die Wichtigkeit der synchronischen und diachronischen Betrachtung in der Literaturwissenschaft. Er widmet viel Aufmerksamkeit der Problematik der Varianten und Invarianten bei linguistischen Einheiten in Hinsicht auf ihre Funktion sowie den Fragen der Opposition in den metrischen Systemen, und schliesslich den Fragen des Parallelismus und Schallsymbolismus. Dies alles sind wichtige Beiträge und bedeuten eine grundlegende Lösung der konkreten Problematik der Poetik.

Die Anwendung der rein linguistischen Methoden und Kriterien bei der Auswertung der Probleme der Poetik ist zweifellos ein Verdienst Jakobsons, der somit die Problematik der poetischen Funktion der Sprache auf Grund exakter Grundlagen des linguistischen Befunds weiterentwickelt. Aber die endgültige Lösung der Frage des Verhältnisses der Poetik zu Linguistik,⁴ ist ihm noch nicht gelungen. Die Poetik stellt nach der heute vorherrschender Ansicht den systematisch grundlegenden Teil der Literaturwissenschaft dar. Sie ist zur beschreibenden und begründenden Wissenschaft geworden. Die Dichtung ist ein ästhetisches Phänomen, und damit erscheint die Poetik auch im Rahmen einer umfassenden Ästhetik. Die Poetik endet nicht im rein sprachlichen Bereich, für sie bleibt die Sprache als Untersuchungsgebiet von Wichtigkeit, aber ein Werk Ganzes wird damit kaum zu erfassen sein. In der Poesie treten neben linguistischen Werten allgemeine semiotische und ästhetisch wertvolle Qualitäten auf, ja die Linguistik selbst ist ein Teil der Semiotik.

Jakobsons zusammenfassender prinzipieller Versuch um eine neue Annäherung der Sprach- und Literaturwissenschaft ist für die Poetik fruchtbar. Unter Umständen kann man von der Einheit der Sprach- und Literaturwissenschaft sprechen, sofern ein kontinuierlicher Übergang vom umfassenden zu einem immer spezielleren Sprachsystem und schliesslich zum Einzeltext besteht. Dies hat Jakobson übrigens auch

⁴ Mit dieser Problematik von dem Standpunkte der Ontologie aus gesehen beschäftigt sich Roman Ingarden in seinem Referat *Poetik und Sprachwissenschaft* (In: „Poetics. Poetyka. Poetika“, Warszawa, 1961, 1—9). Er kommt zu dem Ergebnis, dass nicht alle Probleme des literarischen Kunstwerkes durch linguistische Methoden erforscht werden können. Ingarden fordert eine genaue Gebietsabgrenzung zwischen der Poetik und der Sprachwissenschaft und ist der Ansicht, dass jede Mischung dieser Disziplinen ungünstige Wirkungen auf die Forschung ausüben und eine Einseitigkeit der Auffassung des literarischen Kunstwerks zur Folge haben könnte.

gezeigt. Für die Poetik ist die Untersuchung der Funktion des Textes und Kontextes wie auch der Funktion der sprachlichen Mittel und der Sprache von Wichtigkeit, wie auch der Linguistik der Fall ist. In diesem Sinne bildet die Poetik einen Bestandteil der Linguistik. Je mehr die Literaturwissenschaft den Konkreten Charakter ihres Gegenstandes betont, umso enger ist sie in die ursprüngliche Nachbarschaft der Linguistik gerückt. Ihr Verhältnis besteht nicht in der blossen Analogie der Problematik, sondern es ist ein Ineinandergreifen der Entsprechungen der einzelnen Wirkungen. Sie sind voneinander abhängig, aber nicht identisch. Es sind dies sehr komplizierte und komplexe Probleme, die noch weiterer Erforschung harren. Diese Problematik muss man in den ausserlinguistischen Bereich der Literatur- und Sprachphilosophie verweisen. Die Behandlung der Forschungsgrundlagen zeigt, dass diese Fragen mit anthropologischem Denken verbunden sind. So wie die Dinge jetzt liegen, soll man sie nicht auf fertige Theorien beschränken, aber alle Hinweise der Problematik und der Theorie weiter zu einer Synthese beider Richtungen vereinigen. Der Gedanke und die Methoden einer komplexen Forschung, die über die Einzelwissenschaften hinaus geht, wie dies heute in den Naturwissenschaften schon zu einer Selbstverständlichkeit geworden ist, wird auch in den Gesellschaftswissenschaften nicht nur eine methodologische Notwendigkeit und nur ein methodologischer Pluralismus sein.

Vincent Šabík

Juilland A., *Outline of a General Theory of Structural Relations*, (Janua Linguarum Nr. XV). 's-Gravenhage, Mouton et Co., 1961, 58 pp.

The book is an introduction to the work titled *The Concepts of Grammar* further parts of which will be *The Word: Toward a General Theory* and *The Categories of Grammar: Toward a General Theory*. Although the investigated relations will be practically applied in further volumes their more general validity is obvious, as they are mostly generalizations of specific relations discovered in individual languages. Further *The Concepts of Grammar* is the first volume of a greater work now being prepared, titled *The Structure of Grammar* which will include also *Descriptive Grammar and Linguistic Typology* and *Comparative and Historical Grammar*.

The author proceeds correctly in presenting the terms „distribution“, „length“, „frequency“ etc. as specific kinds of „relations“. Thus, various phenomena, apparently quite heterogeneous, are placed under a more general concept. The problems of „relations“, „order“, „structure“, „system“ etc. are in contemporary theories of sciences of basic importance and their clarification in linguistics may have considerable theoretical implications. Let us first regard the term „structural“, because modern linguistics exploits only those [relations] which can be properly termed „structural“ (19). Although the term „structure“ in linguistics is not very precise (19) there are many definitions or descriptions of what is meant under this term. A great part of these definitions differ either in wording, or they describe the structure from various points of view, or they describe quite different things. It may be briefly stated that in a given whole there is a *set of elements* (entities, items, objects, units, terms, etc.) which we usually call *inventory*, and a *set of relations* connecting them up, from which in turn follows *the manner of the arrangement of the inventory*. This is what we call *structure*. (It is not always necessary to differentiate the set of relations and the manner of arrangement, considering only the latter to be the structure, as every relation is an arrangement of two or more elements.)

The set of elements (inventory) and the set of relations among them (structure) constitute a *system*.¹ The inventory may be used for the definition of the system by extension and the structure for the definition by intension. In linguistics, the system is frequently mistaken for structure. Now, since every relation „represents“ some structure and consequently there are no „non-structural“ relations, the term „structural“ in this connection is either tautologic or comprehended as a synonym for the term „relevant“. The relations are either relevant, that is, for the given aspect of investigation it is possible to draw consequences from them, or irrelevant which in linguistics are put aside. Because the author has classed the physical and statistical relations with the „structural“ ones — which is considered by him the most drastic departure from the generally accepted concept of structure... (35) — it does not mean that they have suddenly become structural, but that linguistics has reached a stage in which it is possible to draw some conclusions from the physical and statistical relations as to the character of linguistic entities, i.e. it has been found that these relations are relevant for the study of the system investigated. It is possible that in the future many other relations which as yet we have not been able to make use of, will turn out to be relevant. Nevertheless, it is quite clear what is meant by the term „structural relations“. The rebuke is rather terminological.

In the first chapter titled *Linguistic Analysis and Models of Grammar* in which a summary survey of existing schools is presented, the author does not analyse the individual approaches to the grammar as mutually contradictory ones, but as different aspects of the investigation, either with giving preference to some method (analysis, synthesis; induction, deduction) or to some entities (terms, relations; substance, form) or to some style (static, dynamic), setting them into a higher theoretical framework. This chapter gives an excellent orientation in modern linguistics and shows the place of various schools in the general theory of grammar. In the human epistemological process we frequently meet with a sliding into the opposite extreme if the preceding direction preferred one side of some reality having a dual character. The next logical step is then either a return to the original direction with better theoretical reasoning or a synthesis of both directions. The same may happen in using heuristic methods and methods of description. The case is not unknown even in the evolution of linguistics² where recently the use of electronic computers

¹ This description is very simplified, but is in accordance with the definition of system and structure in nonlinguistic literature, e. g. Greelling, K.—P. Oppenheim, *Der Gestaltbegriff im Lichte der neuen Logik*. Erkenntnis 7, 1937—8, 211—225; Kleene S. C., *Introduction to Metamathematics*, Amsterdam—Groningen 1952, p. 24; Korzybski A., *Science and Sanity. An Introduction to Non-Aristotelian Systems and General Semantics*, Lakeville 1949³, esp. p. 56; Langer S. K., *An Introduction to Symbolic Logic*, New York 1953³, esp. p. 42, 45, 60. For various definitions or descriptions of the terms „system“ and „structure“ in linguistics cf. e.g. Firth J. R., *A Synopsis of Linguistic Theory 1930—1955*. In: *Studies in Linguistic Analysis*, Oxford 1957, p. 5, 17, 30; Halliday M. A. K., *Some Aspects of Systematic Description and Comparison in Grammatical Analysis*. Ibid., p. 60; Harris Z. S., *Distributional Structure*. In: *Linguistics Today*, New York 1954, 26—42; Herdan G., *Type-Token Mathematics*. 's-Gravenhage 1960, p. 210; Hockett, C. F., *A Manual of Phonology*, Baltimore 1955, p. 175 f.; Pike K. L., *Language in Relation to a Unified Theory of the Structure of Human Behaviour*, 3 vols., Glendale 1954—60, see Index; Reformatskiy A. A., *Vvedeniye v yazykoznanie*, Moskva 1955, p. 16—25; Whetmough J., *Language: A Modern Synthesis*, New York 1956, p. 114; *Zeichen und System der Sprache*, 2 vols. Berlin 1961—62, passim.

² „In recent decades, SD [synthetic-deductive] models, substantial variants, and dynamic formulations which dominated traditional grammar lost ground to AI [analytic-inductive] models, to the formal style, and to the static perspective.“ (13), Under the influence of mechanical

will eventuate the unification of description, putting aside various pseudo-problems (15).

There are two types of grammar: synthetic-deductive and analytic-inductive. Under „grammar“ is not meant an analysis, as it is referred to only by the AI type, but a description of some rules. The author prefers the SD type, as the system may be extrapolated from texts by *whatever means* and following *whichever postulates* (12), but the principal thing is the verification where SD type is prior to AI one. In general, however, the choice of the style is arbitrary, if the conclusions are empirically verifiable (14).

In the second chapter *A General Theory of Structural Relations* the basic techniques are explicated: *syntagmatic* by which the segments are demarcated, and *systematic* by which the variants are reduced to invariants and grouped into classes, i.e. *segmentation*, *identification* and *classification*, respectively. Different views of the text-system relation has resulted in preferring some of these techniques. The glossematians acknowledge the ontological priority of the system, whilst the author correctly considers this question a chicken-or-egg problem (10), as the relation of the text to the system is that of the appearance to the essence, i.e. their existence is dependent on each other. Epistemologically the text is given as primordial, since the knowledge penetrates from the appearance to the essence. In case of *indeterminacy* when the criteria do not lead to solution, or in case of *ambiguity* when the criteria are in contradiction, the author prefers the multiplication of criteria which are derivable from particular relations presented here in five basic pairs: (1) *Relations of occurrence*: (A) *Functional* or part/whole relations with basic positions *initial*, *medial* and *final*. Every unit either occurs (+) or does not occur (—) in these positions, so that we get eight functional classes, i.e. variations of two elements taken three at a time (with repetition), the general formula being $V'_k(n) = n^k$, in our case 2^3 (not $3^2 - 1$ as given by the author). (B) *Distributional* or part/part relations with basic positions *before* and *after*. The distributional classes are being determined either by *substitution* working with *fixed environment*, or by *insertion* working with *fixed units*. (2) *Relations of constituency*: (A) *Analytic*, i.e. relations from constituent to constitute, and (B) *synthetic*, i.e. relations from constitute to constituent. They must not be mistaken for functional relations. (3) *Relations of presupposition*: (A) *Syntagmatic*, i.e. relations of agreement, rection and concord, and (B) *paradigmatic*, i.e. relations between variants of the same invariant, or between related invariants. (4) *Physical relations*: (A) *Relations of length* and (B) *relations of prominence*. (5) *Statistical relations*: (A) *Relations of frequency* and (B) *relations of dispersion* (in the sense of the occurrence of the units in various kinds of texts). These relations have to be, naturally, arranged into an appropriate hierarchy, but the multiplication of criteria leads to the use of continuous scale instead of unequivocal either/or choices.

The „polar approach“ dealt with in the third chapter titled *Linguistic Analysis and the Disciplines of Linguistics* may work consequently with its criteria, whilst the „binary approach“ is frequently obliged to force the elements into the chosen scheme, to look for criteria by means of which the analysis eventuates in the pre-determined (binary) scheme, or to take no account of the features which are, indeed, relevant, but do not fit into the scheme. The polar schemes are usually not so elegant as binary ones, but this has nothing to do with the question of adequacy. In using

processing of linguistic data, focus has shifted from the analytical viewpoint back to the synthetic, and from static outlook back to the dynamic.’ (14)

qualitative scales, Goodman's³ logical approach to the study of qualities may in the future turn out to be of use to the linguistics. The exploiting of the relations of frequency in segmentation and classification shows especially promising perspectives. There are many statistical works on language, but we still lack a systematic summary of inferences which may be drawn from the relations of frequency about the character of linguistic units. One must be warned against premature generalizations, because in various languages there may be various types of dependences between the frequency and the „qualities“ of linguistic entities. Neither is the number of languages used for statistical investigations satisfactory.

The book ends with a survey of disciplines of linguistic analysis and with the contributions of particular schools to the particular disciplines. The author distinguishes 27 disciplines, there being three procedures (segmentation, identification, classification) performed on three levels (phonology, morphology, syntax) in three types of languages (isolating, inflecting, incorporating), but in fact this theoretical number is, of course, smaller (51). Since languages with respect to type also move on the more/less scale it would, perhaps, be more convenient to find a common name for the phenomena that make up the „type of language“ and to speak rather about the types of these phenomena which—being the ultimate components of the „type of language“—are clear-cut.

The book is very useful and instructive and may be recommended to all linguists. It will be possible to criticize the applicability of the particular relations, especially that of physical and statistical ones, only when the further volumes have appeared.

Gabriel Altmann

Kayser Wolfgang, *Das Groteske. Seine Gestaltung in Malerei und Dichtung*. Gerhard Stalling Verlag 1961², 228 S.

Tragik und Komik pflegt man auf dem Gebiet der Kunst für die zwei Grundprinzipien zu halten. Als ob alle künstlerisch wirksamen Erscheinungen auf diese zwei Pole zielten, die wichtigsten ästhetischen Kategorien werden in Beziehung auf sie definiert, um sie gruppieren sich die zentralen künstlerischen Gattungen. In der Geschichte der europäischen Kunst würde man jedoch Werke finden, die man adäquat weder in die Sphäre des Tragischen, noch des Komischen reihen kann; diese Werke haben mit ihnen einige Merkmale gemein, passen aber vollends weder in die eine, noch in die andere Sphäre; ihr Wesen schliesst sie aus dem Rahmen des Tragischen, so auch des Komischen aus; sie stehen auf beiden Grenzen, sie sind Erscheinungen *sui generis*. So wurde zur Zeit des Barocks die Kategorie des „Hässlichen“ als Gegenpol zur Kategorie der Schönheit, die ästhetisch in der Kunst der Renaissance dominierte, zu einem bedeutenden künstlerischen Prinzip; dies vollzog sich so vollständig, dass Benedetto Croce den Begriff des „Barocken“ dem des „Hässlichen“ gleichstellte. Ähnlich ist der Begriff der Grotesken ein Begriff, der zwischen dem Tragischen und Komischen oscilliert und dabei eine künstlerische Erscheinung *sui generis* darstellt. Werke, die auf grotesken Motiven oder einer grotesken Konzeption aufgebaut sind, findet man in der Geschichte der europäischen Kunst in einer grossen Zeitspanne: vom Mittelalter bis zur Gegenwart.

Dieser besonderen künstlerischen Erscheinung widmete Wolfgang Kayser, der

³ Goodman N., *The Structure of Appearance*, Cambridge, Mass. 1951, esp. Chapter X.

bedeutende Theoretiker in Fragen der Literatur, die erste, breit angelegte und an Materialien reiche Arbeit. Das Groteske fasst er als historischen Fakt auf, der im Verlauf der ganzen europäischen Kultur und auf allen Gebieten der Kunst vorkommt. (Auf Musik und Filmkunst weist er nur ganz kurz hin.) In den Vordergrund tritt das Groteske besonders im 16. Jahrhundert, in der Zeit zwischen der Sturm-und-Drang-Periode und der Romantik, sowie im 20. Jahrhundert. Alle drei Etappen stellen Perioden der Krise auf dem Gebiet der europäischen Kunst, Kultur und Geschichte dar. Wenn Wolfgang Kayser bemüht ist, den Begriff des Grotesken zu umfassen und zu erläutern, so geschieht dies nicht nur aus einem engen, fachmännischen Interesse an einem nur wenig bearbeiteten Problem. Im Gegenteil, ihn bewegt eine tiefe Anteilnahme an der kulturellen Krise des 20. Jahrhunderts. „Die Kunst der Gegenwart zeigt eine Affinität zum Grotesken wie vielleicht keine andere Epoche... Romane und Erzählungen sind voll davon, Strömungen in der Malerei bekennen es in ihren Programmen ausdrücklich...“ (11). Das Beispiel des Dramatikers F. Dürrenmatt, der behauptet, dass „unsere Welt hat ebenso zur Groteske geführt wie zur Atombombe“ (11), dient ihm als Beweis dafür, dass die Tragikomödie die einzig berechnigte dramatische Form der Gegenwart sei; Tragikomödie, das heisst: Groteske.

Bemüht, das Wesen des Grotesken vollends zu erklären, verfolgt er im I. Kapitel die komplizierte Verwandlung des Inhalts und der Bedeutung dieses Begriffs, der am Ende des 15. Jahrhunderts in Italien vor allem auf dem Gebiet der bildenden Kunst zur Geltung kam. Im II. Kapitel zeigt er, wie sich der Begriff des Grotesken theoretisch, sowohl auch praktisch vertiefte (Wieland, Bosch, Bruegel, Callot, Lenz, Klinger, Goethe). Das III. Kapitel ist der Groteske in der Periode des Romantismus gewidmet, als diese weitgehend in die damalige Theorie (Schlegel, Jean Paul, Hugo), in die damalige Prosa (Bonaventura, Jean Paul, Hoffmann, Poe) und in das damalige Drama (Arnim, Büchner) eindrang. Im IV. Kapitel verfolgt er die Groteske im 19. Jahrhundert, u. zw. auf dem Gebiet der Ästhetik (Hegel, Vischer), sowie der realistischen Kunst in Deutschland (Keller, Raabe, Busch) und im Ausland (Dickens, Gogol). Im V. Kapitel studiert er eingehend die Groteske des 20. Jahrhunderts, ihr Eindringen in die ganze Moderne: sie kam im Drama (Wedekind, Schnitzler, Pirandello), in der Prosa (Meyrink, Kafka, Morgenstern, Mann), in der Lyrik, in der Malerei (Chirico, Tanguy, Dali, Ernst) und in der Graphik (Ensor, Kubin, Weber) zur Geltung. Kayzers Analyse gewinnt an Wert besonders dadurch, dass sie — anhand einer Analyse der Groteske in der Literatur und der bildenden Kunst — mit Feingefühl das Verhältnis der einzelnen Perioden der Kunst und der Persönlichkeiten zur Darstellung der realen Welt im deformierenden Spiegel der grotesken Gestaltung enthüllt; diese hat öfters komische Formen, aber tragischen Inhalt. Kayser fasst die Groteske als „eine Kategorie der Perzeption, eine Kategorie der Welterfassung und Weltgestaltung“ (W. Kayser: *Das sprachliche Kunstwerk*, Bern, 1961, Seite 384) auf, also als formendes Prinzip, mit dessen Hilfe sich die Wirklichkeit der Welt nicht nur in ihrer unmittelbar sinnlichen, sondern auch in ihrer weltanschaulich-philosophischen Form im Kunstwerk spiegelt. Wenn in der Kunst der Perioden der Krise die Groteske in den Vordergrund gelangt, so geschieht dies sicherlich deshalb, weil sie den Künstlern hilft, ihre kritische, negative, event. negierende Stellungnahme zur Wirklichkeit auf angemessene Weise auszudrücken. Die Groteske kann ein Mittel des Spotts, des Hohns, der Lächerlichkeit, aber auch des Entsetzens, der Verzweiflung, der Ängste sein — am häufigsten in einer Welt, die ihre menschlichen Dimensionen einbüsste und sich den Menschen entfremdete.

In diesem Zusammenhang definiert Kayser im Schlusskapitel seines Buches die Groteske mit diesen Worten: „Das Groteske ist die entfremdete Welt (198)... Es geht beim Grotesken nicht um Todesfurcht, sondern um Lebensangst. Zur Struktur des Grotesken gehört, dass die Kategorien unserer Weltorientierung versagen... Die verfremdete Welt erlaubt uns keine Orientierung, sie erscheint als absurd (199)... Die Gestaltungen des Grotesken sind ein Spiel mit dem Absurden... Bei aller Ratlosigkeit und allem Grauen über die dunklen Mächte, die in und hinter unserer Welt lauern und sie uns entfremden können, wirkt die echte künstlerische Gestaltung zugleich als heimliche Befreiung. Das Dunkle ist gesichtet, das Unheimliche entdeckt, das Unfassbare zur Rede gestellt. Und so ergibt sich eine letzte Deutung: die Gestaltung des Grotesken ist der Versuch, das Dämonische in der Welt zu bannen und zu beschwören“ (202). Besondere Anerkennung verdient der Umstand, dass Kayzers Analyse des Grotesken als künstlerischer Erscheinung mit ihren Konsequenzen über das Gebiet der Kunst hinausreicht und den Charakter eines Beitrags zur allgemeinen kulturellen Diagnose annimmt.

Philosophisch betrachtet er das Problem des Grotesken aus dem Aspekt des Existentialismus; es ist kein Zufall, dass seiner Analyse die barocke Kunst als historischer Ausgangspunkt dient — schon im Barock erschien die Polarität des Lebens und des Absurden, der Existenz und des Nichts. („Der Barockismus ist eine Existenzphilosophie“, sagte R. Herberich in der Studie *Philosophie des Barocks*, Jahrbuch der Schweizerischen Philosophischen Gesellschaft, 1944, S. 124). Obwohl er selbst gegen den Irrationalismus kämpft, machen sich in seinem Denken viele irrationale Elemente geltend. Auch wenn er nicht nach Vollständigkeit trachtet und nur einige Linien und Abschnitte verfolgt, wäre es vielleicht angebracht, mit Rabelais anzufangen, seinen hervorragenden grotesken Roman Gargantua und Pantagruel zu analysieren und im Hintergrund dieses Meisterwerkes der Komik die kämpferische Satire und die Tragik der Traurigkeit zu enthüllen. Ebenso wenig kann man den Don Quixot von Cervantes mit der Gestalt und der Geschicken einer der tragikomischsten Figuren der Weltliteratur umgehen. Über Rabelais und Cervantes führt ein gerader Weg zu Laurence Stern, dem Grossmeister der englischen Groteske, der seinerseits seinen Einfluss auf Gogol ausübte. Tschechow, Humorist und Tragiker in einer Person, Autor Gogolschen Typus, der in Prosa und Dramatik einzigartige Grotesken verfasste, dürfte nicht aus dem russischen Rahmen fehlen. Bei Pirandello, einem der bedeutendsten Repräsentanten des italienischen „teatro del grottesco“ empfiehlt es sich anzuführen, dass dieser in seinen Tragikomödien vom noetischen Relativismus und Skeptizismus, von der Unfähigkeit des Menschen, die allgemein gültige Wahrheit zu erkennen, ausging. Dies erscheint als eine Äusserung der agnostischen Periode, in der selbst die Wirklichkeit anfang, problematisch zu werden, wie schon Adriano Tilgher darauf hinweist. In die Periode der Moderne hätte auch die Bewegung des Dadaismus, dem die ganze Welt als absurde Groteske vorkam, was sich im ganzen künstlerischen Schaffen der Dadaisten widerspiegelte, eingegliedert werden sollen. Laut den Worten Tristan Tzaras stellte Dada das Absurde der Absurdität der Welt gegenüber; das Ergebnis dieser Begegnung war eine schaurige Groteske des Chaos und des Nihilismus. Eine gewisse Perspektivlosigkeit beherrscht im allgemeinen die ganze sogenannte Moderne. Hier sollte auch André Gide nicht fehlen, in dessen Prosa und dramatischen Werken sich so manches bedeutende Element der dadaistischen und existentialistischen Groteske verbarg. So wie auch Dada zwei Seiten — eine tragische und eine komische (z. B. einen absurden Humor) hatte, so besitzt diese auch die ganze Groteske: beim barocken Bosch

ebenso wie beim existentialistischen Kafka. Grotesk bedeutet soviel wie komisch, lächerlich, aber auch bizarr, exzentrisch; es handelt sich hier also um eine bipolare, dialektische Erscheinung. Und welche sind die Merkmale des Stils der Groteske im allgemeinen? Einerseits die Deformation der Wirklichkeit, ihrer Form und Proportionen — daraus ergibt sich das Prinzip der Übertreibung; andererseits die Eingliederung von irrealen und irrationalen Elementen in die Realität — daraus ergibt sich das Prinzip der Phantasterei; diese beiden Momente bestimmen die Struktur der Groteske. Sie kommt zumeist in der Form der „phantastischen“ oder „satirischen“ Groteske vor; immer aber ist in ihr gleichzeitig der Pol des Tragischen, sowie der Pol des Komischen gegenwärtig — Lachen und Schrecken, Parodie und Absurdität.

Kaysers Buch ist ein hervorragendes Werk; es entdeckt nicht nur, sondern definiert auch genau. Es ist als eine grosse Initiative zu weiteren Forschungen und Analysen auf diesem Gebiet zu schätzen. Es ist jedoch methodisch noch manches auch durch soziologische Interpretation zu vertiefen.

Július Pašteka

Киргизский героический эпос Манас. Издательство Академии Наук СССР, Москва 1961, стр. 377.

Несколько лет тому назад советская фольклористика поставила себе целью произвести систематическое изучение текстов эпоса народов СССР. В первую очередь необходимо было приступить к полному изданию собрания эпических поэм и сказаний народов Советского союза на русском языке. С этим связано углубление исследовательской работы над древними рукописями и над систематизацией записей вариантов эпоса. Чтобы координировать и объединить усилия научных работников союзных республик Институт мировой литературы им. Горького решил издать серию исследований под общим названием *Вопросы изучения эпоса народов СССР*. Первый сборник статей этой серии вышел в 1958 году. Затем последовал сборник научных статей, посвященных великолепному киргизскому героическому эпосу Манас, который и является предметом нашего внимания в настоящих строках.

Сборник открывает вступительная статья А. А. Петросяна *К вопросу о народности эпоса „Манас“* (5—14). Автор статьи возвращается в послевоенное время, когда вокруг проблемы народности „Манаса“ разгорелись горячие споры. Одна группа доказывала, что „Манас“ является вершиной киргизской народной поэтической культуры, в то время как другая группа категорически заявляла, что „Манас“ является воплощением антинародного характера прошлого. Столкновение этих двух взглядов привело к возникновению третьей концепции, согласно которой на первоначальный стержень эпоса со временем напизались антинародные элементы. По мнению автора все эти концепции построены на ошибочных началах антиисторизма. Между тем „Манас“ является плодом творчества многих поколений народных сказителей. Одни из них стояли ближе к духовному миру трудолюбивых скотоводов, другие к хану, однако, каждый из них внес свой вклад в формирование эпоса. По мере развития эпоса в нем

все более отчетливо выражается идеология различных общественных слоев. Тем не менее содержание эпоса нельзя разбивать на народные и антинародные элементы. Только исторический подход к изучению эпоса может избавить от вредных крайностей — заключает А. А. Петросян.

Следующая статья сборника *Киргизская народная героическая поэма „Манас“* (15—84) принадлежит перу видного советского филолога и писателя, основателя советского манасоведения М. Ауэзова. Автор является одним из тех исследователей, которым удалось познакомиться со всеми известными до сих пор версиями эпоса и с его бытованием в народной среде. Поэтому понятно, что в статье самое большое внимание уделяется как раз носителям эпоса, певцам — манасчи, между которыми автор различает т. н. джомокчу, соответствующих античным аэдам и ырчи, родственных рапсодам. Так древнегреческие аэды, как и киргизские джомокчу, по мере своих способностей, перерабатывали, расширяли или сокращали заимствованный ими вариант своего предшественника, в то время как ырчи осваивают лишь отдельные отрывки поэмы. В кратком анализе содержания эпоса „Манас“ М. Ауэзов исходит из предпосылки, что эпос прошел длинный путь формирования, он отражает события многих веков, несет на себе отпечаток участия различных певцов. Поэтому, в сюжетном отношении эпос необыкновенно разнообразен. Автор не ставит себе задачей углубленное изучение особенностей эпоса, а ограничивается лишь неполными, однако, ценными наблюдениями. В дальнейшем М. Ауэзов сравнивает события древней киргизской истории с событиями эпоса „Манас“ и, таким образом, устанавливает ряд параллелей, прямо или косвенно указывающих на время зарождения первоначальной основы эпоса. Эту основу образовал мотив, определенный социальным характером родового коллектива. Согласно автору в эпосе представлены все основные виды обработки литературного материала — описание, повествование, драматизация, особенно в форме монологов и др. Характеры героев изображены не через их описание, а через действие и язык. Автор обращает внимание также на разнообразные формы соединения стихов в „Манасе“, влияние напева на стих, строфическое членение эпоса и др. В своих размышлениях автор опирается на вариант Орозбакова. Притом он отдает себе отчет в неполноте своих выводов и сам обращает внимание читателя на вопрос об авторском участии певца в формировании традиции, однако, вопрос этот он оставляет открытым.

В обширном труде *Введение в изучение эпоса „Манас“*, (85—196) проф. В. М. Жирмунский затронул ряд предварительных проблем, касающихся состава и исторического происхождения эпической трилогии. Вопросы эти в значительной части являются до сих пор дискуссионными, и поэтому, автор свои положения рассматривает лишь как введение в изучение эпоса. Одним из основных вопросов является систематическое сравнение киргизского эпоса с аналогичными созданиями других народов, особенно народов Средней Азии. Притом проф. Жирмунский обосновывает типологическое сравнение образов и сюжетных ситуаций. По его мнению родство образов и сюжетов в многих случаях может быть очень близким, без того, чтобы было необходимо объяснять его литературным „влиянием“, со стороны. Однако, нельзя исключить и генетический метод сравнения, учитывающий более или менее активное культурное и литературное взаимодействие

народов. На материалах „Манаса“ проф. Жирмунский указал как киргизский эпос формировался в кругу мотивов, сюжетов и образов алтайско-енисейских богатырских сказок, возникших на прародине киргизов, как в киргизский эпос проникли образы героев казахских и ногайских сказаний. С другой стороны сам „Манас“ повлиял на формирование эпического богатства народов Средней Азии.

Историческая действительность в эпосе отражается в типических обобщенных образах. Исторически правдиво в „Манасе“ изображены напр. отношения между киргизами и калмыками, между Манасом и его дружинниками, вассалами, правдивы образы взятые из материальной культуры, обычаев, праздников и т. под. Что касается соотношения исторических и фантастических элементов в эпосе „Манас“ проф. Жирмунский доказывает, что сказочная фантастика не является основным моментом в „Манасе“. Сказочные мотивы встречаются в эпосе с одной стороны как пережитки, с другой — как позднее наслоение. История эпоса предполагает постоянное развитие и трансформацию сюжетов и образов. Также образ Манаса проходит рядом таких же трансформаций от сказочного героя через вождя и главаря богатырской дружины к феодальному властелину и завоевателю.

Введение в изучение эпоса „Манас“ является переработанным и дополненным изданием книжки, вышедшей в 1947 году во Фрунзе. Труд профессора Жирмунского представляет отличное методическое пособие для дальнейшего изучения „Манаса“. Автор выступает здесь как превосходный знаток эпоса и видный последователь сравнительной школы А. Н. Веселовского, метод которого он основательно развил и разработал.

М. Богданова в исследовании *Об особенностях киргизского героического эпоса „Манас“* (197—234) разбирает проблему противоречивости идейного и художественного содержания и народности киргизского эпоса. Главную особенность автор усматривает, между прочим, в том, что в отличие от других эпических творений народов Средней Азии и Казахстана „Манас“ развивался вплоть до наших дней. Развивались и углублялись идеи, расширялся сюжет, пополнялась тематика, обогащались художественные выразительные средства. Подобно эпосу других народов, также „Манас“ формировался из разных сказаний, легенд и песен, на что указали уже Чокан Валиханов и В. В. Радлов. Это, конечно, не значит, что эпос можно легко разложить на самостоятельные циклы и сюжеты. Все эпизоды эпоса органически связаны развивающимся сюжетом и циклизируются вокруг образа богатыря Манаса. Однако, в „Манасе“, главным образом в варианте Орозбакова имеется много эпизодов, в которых автор усматривает националистические построения и попытки отдельных манасчи героизовать то, что в сознании народа не было героикой, а также попытки актуализировать эпос. Поэтому рассуждения автора ведут к строгому выбору текстов при работе над сводным вариантом „Манаса“. Этот выбор, однако, будет наталкиваться на значительные затруднения, особенно в отношении согласования отдельных вариантов, отмеченных индивидуальностью манасчи.

К проблемам связанным с работой над сводным вариантом эпоса „Манас“ высказывается также статья Б. Юнусалиева *Об опыте создания сводного варианта эпоса „Манас“* (282—297). На основании собственного опыта автор указал на затруднения, связанные с выбором эпизодов, образующих основу эпоса, особенно в связи с отличиями в сюжетах отдельных вариантов.

Статьи киргизских писателей А. Токомбаева *К вопросу о народности трилогии эпоса „Манас“* (257—268) и Т. Сыдыкбекова *О народности поэмы „Сейтек“ — третьей части трилогии эпоса „Манас“* (269—281) посвящены поэтике эпоса „Манас“, рассматриваемой на фоне развития современной киргизской народной поэзии. Оба автора ориентируются, главным образом, на сюжетную сторону эпоса, причем касаются также вопросов связанных с работой над сводным вариантом „Манаса“.

Большой интерес представляет исследование проф. П. Н. Беркова *Алтайский эпос и „Манас“* (235—256), в котором автор затрагивает вопрос о том, насколько киргизская эпическая традиция связана с алтайско-сибирским культурным окружением. Такой вопрос вполне обоснован. Подтверждают это некоторые данные фольклористики и лингвистики. По мнению проф. Беркова непосредственное отношение к киргизскому эпосу имеет алтайская богатырская сказка „Алып-Манап“, эпизодом о возвращении Алып-Манапа на свадьбу своей жены связанная с узбекским эпосом „Алпамыш“. Согласно автору „Алып-Манап“ архаичнее, чем свидетельствует его мифологическая основа. Здесь, по мнению автора, отразились древние представления о борьбе солнца с холодом и зимой. Постепенно эта мифическая основа „Манаса“ закрылась и произошла трансформация мифа в героическую сагу, былинную о богатыре. Вопреки многим интересным наблюдениям статья проф. Беркова звучит несколько гипотетически. Сравнение отдельных мотивов эпоса с мифом может вести к положительным результатам, однако, для этого необходимо иметь точное представление о содержании мифа и нельзя создавать искусственную реконструкцию мифа. С другой стороны общие детали в „Алып-Манапе“ и „Манасе“ могли быть обусловлены общими поэтическими правилами и общим образным фондом одного культурного округа.

В сборнике опубликована библиография литературы о „Манасе“ П. Н. Беркова и Э. К. Сагидовой.

Все исследования сборника заодно в том, что к изучению эпоса „Манас“ следует приступать с исторических позиций. Они являются хорошей основой для дальнейшего успешного изучения монументального эпоса киргизского народа.

Ján Komorovský

(Liu Hsieh) *The Literary Mind and the Carving of Dragons. (A study of Thought and Pattern in Chinese Literature)*. Translated with an Introduction and Notes by Vincent Yu-chung Shih. New-York, Columbia University Press 1959, xlvii, 298. \$ 6.00.

The study of Chinese literary criticism—ancient and modern—is still only in its initial stage, especially if we think of the study of this branch of sinology outside of China and Japan.

In China and Japan this branch of study has a certain tradition. It began in the twenties and thirties of the 20th century and is still being pursued. In America and Europe, however, it has started only recently.¹

¹ See Hightower James R., *Topics in Chinese Literature, Outlines and Bibliographies*, Harvard University Press, Cambridge 1962, p. 48.

Wen-hsin tiao-lung (i.e. The Literary Mind and the Carving of Dragons) belongs unquestionably to the foremost rank of all the works of Chinese literary criticism of the ancient period. When compared with the works of literary criticism belonging to the European sphere of culture, it bears analogy—if we consider its importance—to Aristotle's *Poetics* and Horace's *Ars poetica*; we stress the word „analogy“, bearing in mind everything the word implies.

Professor Shih's translation must be appreciated as a really noteworthy enterprise, requiring great courage and much hard work. Liu Hsieh's (cca 465—522 A.D.) text is extremely difficult, the translation of certain parts cannot be but problematic—considering the present stage of investigation of Chinese literary criticism—even though the interpreter and scholar of Chinese and European literary criticism be most erudite and accomplished. The obscurity of the old Chinese terms for literary science differing from ours, forms one of the greatest difficulties. Many studies and contributions concerning the manifold aspects of Chinese literary criticism of the Six dynasties (3rd-6th cent. A.D.) are indispensable, much untiring and unrelenting labour must be bestowed upon the analysis of the problems of Wen-hsin tiao-lung before it is possible to translate this text adequately. We must take into consideration—among others—the comparatively short time the author had for his translation (as he mentions in the „Acknowledgments“ at the beginning of the work). Apart from this, Wen-hsin tiao-lung has been influenced by taoist philosophical writings, especially by Chuang-tzu (cca 300 B.C.) which fact does not make translating simpler. Also the work is written in the so-called „parallel style“ (p'ien-wen), florid, ornate, artificial and known for its numerous allusions which manage to make it—together with a peculiar abruptness and conciseness—so difficult as to be in some places nearly unintelligible. On these grounds Prof. Shih's translation must be used with caution.

It has been very thoughtfull of Prof. Shih to write a comparatively long Introduction (xi-xlvi), the Glossary (pp. 269—276) where he explains some both problematic and important Chinese characters, their transcription and translation and—finally—the Index.

Since the translation will be used—probably to a considerable extent—by literary scientists-non-sinologists, the Introduction will be of extreme importance and help. We think that the part dealing with the literary criticism from Confucius (551—479 B.C.) to Wang Ch'ung (cca 27—79 A.D.) is the best and the most exhaustively dealt with (regarding the narrow compass of the Introduction). A considerable part is devoted to the work *Wen-fu* (Prof. Shih translates it as *Essay on Literature*

Franke Herbert, *Orientalistik*, I. Teil, Sinologie, A. Francke A. G. Verlag, Bern 1953, p. 160.

Wen-hsüeh lun-wen suo-yin, Pei-p'ing 1932, pp. 89—81.

Wen-hsüeh lun-wen suo-yin hsü-pien, Pei-p'ing 1933, pp. 66—67.

Wen-hsüeh lun-wen suo-yin san-pien, Pei-p'ing 1936, pp. 106—107.

The following studies in English are devoted to special problems of Wen-hsin tiao-lung: Sun Su-liu, *Liu Hsieh's Theory of Literary Criticism*, Chinese Literature, 1958 (Sept., Oct.), pp. 132 to 136. Liou Shou-sung, *Liu Hsieh on Writing*, ibid. 1962 (August), pp. 72—91. The same number contains the translation of chapters 26, 28, 31, 37 and 48 of Wen-hsin tiao-lung under the title *Carving a Dragon at the Core of Literature*, pp. 58—71. We recommend to the reader the study by Lisevitch, I. S., *Iz istorii literaturnoy mysli v drevnem Kitaye* (Tri kategorii), *From the History of Literary Mind in Ancient China* (Three Categories), *Narody Azii i Afriki* 4, 1962, pp. 157—165; though the study does not deal with the particular problems of Wen-hsin tiao-lung, it is an interesting contribution to the study of the history of Chinese literary criticism.

in the *Form of fu*) by Lu Chi (261—303 A.D.). Of course, it was not so exacting a task, since the work is known from three translations into English.²

We may say, however, that taken as a whole, the discussion of the literary criticism through the Six Dynasties—the Golden Age of Chinese literary criticism—the part that really concerns most every reader taking an interest in the subject, is the least exhaustively dealt with. The author is concerned above all with the analysis of Wen-hsin tiao-lung. We cannot say to what extent he had access to studies devoted to this work written in China and to what an extent he made use of them, but he does not seem to have used much the available material. The author bestows the greatest attention upon the analysis of the translation. This analysis represents the greater part of the Introduction.

The translator introduces first Liu Hsieh as a so-called classicist, i.e. the adherent of the traditional Chinese view of literature, which is being characterized mostly as utilitarian, didactic and later defined as „literature is meant to convey principles“ (wen i tsai tao). Liu Hsieh maintains that all literary genres are derived from the classics and that poetry reflects the political reality of its age.

Prof. Shih then proceeds to show Liu Hsieh as a literary critic. It is questionable how far the term „classicism“ may be used in connection with Chinese literature and literary criticism and even if it might be used, it is uncertain, to what extent it can be applied to anything that is the very antithesis of classicism. We think not to be most appropriate to apply the term classicist for a critic who is the adherent of the traditional view of literature and if this point of view is correct it is quite impossible to call a „literary critic“ a person who opposes this traditional view of literature. It would be more correct to call him an „anticlassicist“ or „antitraditionalist“, till literary science does not coin more appropriate terms relating to Chinese literary material. A classicist may as a matter of course be a literary critic and classicism one of the genres of literary criticism.

According to Prof. Shih, Liu Hsieh sees the origin of literature in nature, a point of view which he shares—among others—with ancient Greek, Roman and European classicist literature. For him, literature is a means to attain fame. Literature develops, literary forms change in accordance with the spirit of the age, which fact explains different literary genres at different periods. Literary works are being influenced by the political situation and the moral standard of the age in which they are written. According to him, emotions and sentiments are the true spirit of literature (we find similar view expressed already in the *Preface to the Classic of Songs*, written probably by Wei Hung in the first century A. D.), facts and principles are the bone and marrow, linguistic patterns are the flesh, and musical patterns are the voice and breath.

Prof. Shih opposes the view of most scholars of ancient Chinese literature who consider Liu Hsieh a classicist. He writes: „In reiterating the traditional theory of poetic function and development, Liu seems to have done so as a matter of habit rather than as a result of conviction. His belief that literature develops in accordance with the needs of times and that each new age gives literature a new emphasis and a fresh point of view is a violent contradiction to traditionalism“ (p. XLIII).

It seems that the views of literary criticism as regards Wen-hsin tiao-lung will have to undergo a change in this respect, but the classicistic tendencies of its creator are unquestionable.

² Hūghes E. R., *The Art of Letters*, New York 1950, Fang, Achilles, Lu Chi's Rhyme-prose on Literature, HJAS XIV, 1951, pp. 527—566.
Ch'en Shih-hsiang, *Essay on Literature*, Portland 1953.

Prof. Shih does not consider sufficiently Liu Hsieh's work in relation to the literary background of his age and the ages immediately preceding and following it. We think that he could have expounded more fully the critical and aesthetic views expressed in the book. It is disappointing that the translator considered it sufficient to give (more or less) only the contents of the book, he might perhaps have attempted to give a more systematic, theoretically and aesthetically substantiated interpretation. A few more pages of introduction would have been welcome.

We hope that Prof. Shih will turn his attention once more to the problems of Wen-hsin tiao-lung and its translation. An adequate translation—in the first place—is extremely important and desirable at the present stage of research of Chinese literary criticism.

Marián Gálík

Marsack C. C., *Teach Yourself Samoan*, London, The English Universities Press Ltd 1962, 178 pp.

Marsack's textbook appears in the series *Teach Yourself Books*. The textbook, according to the author, aims „to enable a student to acquire a working knowledge of the Samoan language without the personal tuition to be obtained in a classroom or from an individual teacher“.

The material of the textbook is divided into 20 lessons with grammatical explanations and practical exercises (translations into Samoan). Six of the lessons also contain continuous Samoan texts. Translations to exercises and texts are given in the Key to Exercises and in the Key to Translations. Further, attached to the textbook is a list of the most important verbs, Samoan-English and English-Samoan vocabulary and a list of words adopted into Samoan from other languages.

It should be appreciated that the author when explaining the grammatical phenomena often expounds on them from the point of view „of strict grammar“. The author realizes that in spite of the identical term Samoan passive voice and English passive voice are entirely different (12th Lesson, pp. 71—72) and in Samoan he does not look for such categories as grammatical gender, number and case existing in various European languages.

The biggest deficiency of the textbook lies in the phonetics. The author does not consistently mark the glottal stop and the vocalic quantity, neither in the lessons nor in the vocabulary, in spite of the fact that both of these are necessary in differentiating word meanings. They are required more so because the number of phonemes in Samoan is relatively low. The marking of the glottal stop and vocalic quantity would also help towards differentiation of many graphical homonyms. The author states that his reason for not marking the glottal stop is that Europeans seldom recognize it. Nevertheless, the recognition of the existence of a certain sound in a foreign language is purely a question of habit. What is more important is whether the native speaker is conscious of the existence of this sound or not.

The author considers only 'o le 'ā as the future tense verbal particle and does not mention 'ā.¹ In the section on the plural of verbs (4th Lesson, p. 36) the author considers faitau as uninflective. Pratt² counts it among verbs which form the plural!

¹ S. Churchward, *Samoan Grammar*, Melbourne 1951, p. 14.

² Pratt's *Grammar and Dictionary of the Samoan Language*, 4th Ed., Samoa, Malua 1911, p. 32.

by lengthening the first vowel in the first syllable. Marsack also fails to mention that some verbs forming the plural by doubling the second syllable at the same time prolong the vowel of the first syllable e. g. alofa — pl. ālolofa, galue — pl. gālulue, maliu — pl. māliliu etc.³

The author also deals with the diachronic aspect. When two lexical units or grammatical forms compete he points out which of these is in progress e. g. the fusion of *n* and *ŋ* in colloquial speech into *ŋ* (p. 17), replacement of more complex plural forms of the verb by uninflective forms (4th Lesson, p. 36) or the replacement of the pronoun *sine* by the indefinite article *se* in some cases (11th Lesson, p. 68).

The knowledge of the stylistic value of words is especially useful when active knowledge of the language is sought. The author distinguishes stylistically marked and stylistically neutral words. Due to the limited scope of use of stylistically marked words, the author advises the beginner to use stylistically neutral words, e. g. with pairs of personal pronouns 'ita — a'u, 'ou; na — ia (5th Lesson, pp. 40—41), with numerals gafulu — sefulu (6th Lesson, p. 44) and also with combinations of cardinal numerals with nouns (6th Lesson, p. 45).

The lexical material used in the lessons amounts to 1,100 units but not all words used can be found in the general vocabularies at the end of the textbook. The following words for instance are missing: fe'oa'i, fo'i, sopo, tafa, ti'eti'e, tuasivi (Translation V, p. 107). The Samoan-English vocabulary contains approximately 650 words; the separate list of verbs amounts to 220 words and the list of borrowings has about 170 words. The English-Samoan vocabulary is about the same size but in it also such words can be found which are missing in the Samoan-English vocabulary. The advantage of the vocabulary is that with each noun the appropriate possessive particle is also given. This practice should be introduced in all vocabularies of Polynesian languages. We should like to suggest that the vocabulary should contain also the following data: verb rection, irregular plural forms of nouns and adjectives as well as stylistical characteristics of words.

The textbook contains also a certain amount of phraseological expressions.

From the didactical point of view it would have been more correct if the occurrence of grammatical morphemes had not preceded their explanation. The reader is only later acquainted with the meaning of the particle *ai* (used in 10th Lesson, pp. 63—64, 1st sentence of the exercise), the agentive particle *e* (used in 9th Lesson, p. 59; in 10th Lesson, p. 64, 1st sentence of the exercise). We suggest that the basic syntactical rules should already have been explained at the beginning of the textbook. In the case of demonstrative pronouns (10th Lesson, p. 64) the author should have mentioned their place in the attributive syntagma.

The word *nofoa* has as a possessive particle once *a* (p. 50 down: 'o la matou nofoa) another time *o* (p. 119 down: le nofoa o Malia) while in the vocabulary (p. 149) only *o* is given.

On p. 53 a small fault can be noticed in the translation of two sentences namely in the examples „David is the Methodist“ and „Pastor at Faleasi'u“; the words Methodist and pastor should have been exchanged.

In the 6th sentence of the 8th Lesson (George has three baskets of bananas, p. 55) the reader according to the previous explanation would expect the following translation: E i ai ia Siaoasi 'ato fa'i e tolu, and not: E i a Siaoasi... (Key to Exercises, p. 120, Exercise VIII, Sentence 6).

³ Pratt, o.c., p. 31.

On the whole Marsack's book can be considered a successful textbook which will enable the reader to learn the basis of the language of the first independent Polynesian state.

Viktor Krupa

И. В. Пухов, *Якутский героический эпос олонхо*. Академия наук СССР. Москва 1962. Стр. 254.

В серии Вопросы изучения эпоса народов СССР вышла работа И. В. Пухова о якутском героическом эпосе олонхо, посвященная разбору его основных образов. Исследование Пухова является первой основательной разработкой части разнообразной проблематики олонхо. В центре внимания автора — идейный и поэтический анализ образов якутского эпоса. После краткого критического обзора истории изучения олонхо автор приступает к собственному исследованию.

Основную мысль олонхо воплощает герой, борющийся за счастье своего племени. Поэтому все внимание олонхо сосредоточено на описании природных богатств страны, где родился и вырос главный герой. Эта страна чисто эпическая, с гиперболическими деревьями и горами, цветами и полями. Описания природы украшены различными эпитетами с сложным накоплением параллелизмов и приподоблений. В стране находится родовое священное дерево, объединяющее все три мира козмоса олонхо: средний, мир людей, в котором дерево растет, верхний, где живут боги, и нижний, где живут чудовища абаасы. Автор указывает как родовое дерево имеет непосредственное отношение к герою и к его подвигам. В дереве пребывает дух-хозяйка страны людей, она охраняет их, бережет их имущества и страну. Это собственно богиня земли. Богатырь часто просит ее о помощи. Молоко из ее груди имеет свойство волшебной жидкости, вроде „живой воды“ наших сказок. Волшебные мотивы встречаются во всех олонхо. Реальный мир окружен мифологическими существами. Герой олонхо — первый человек на земле. Он имеет некоторые черты культурного героя. Первым из людей он занимается хозяйством. Однако мифологические и фантастические мотивы в олонхо прикрыты богатырскими подвигами, конфликтами богатырей и их походами.

Интересна глава, в которой автор указывает как композиция олонхо связана с образом героя. Композиция олонхо развивается в биографическом плане — от рождения героя до его возвращения в родную страну после завершения своей миссии. В этой связи важное место в олонхо занимает вводная часть поэмы, где описывается природа страны, имущество и жизнь ее жителей. Между введением и действием олонхо существует прямая идейная связь. Ибо, чем больше и великопнее страна, изображаемая введением, тем значительнее должны быть подвиги героя. Действие олонхо начинается с прибытия посла абаасы в страну людей, что нарушает мирное течение их жизни. Дальнейшие события идут быстро за собой. Появляется герой, судьбы и подвиги которого становятся в центре внимания олонхо. Для изображения героя характерны острые контрасты, играющие значительную композиционную роль, особенно в описаниях.

Герой олонхо божественного происхождения. Он обыкновенно является внуком, более редко — сыном божества. Такое происхождение героя и его

племени связано с особой ролью основателя человеческого рода. Из этого вытекает высокое пазначение героя. Большое внимание олонхо уделяет его рождению и детству. Богатырь при рождении бывает необыкновенно велик. Он имеет свойства взрослых людей. Внешний облик героя во время его походов не меняется. И все-же герой олонхо имеет несколько портретов: при рождении, во время походов и после них. Во время походов он имеет уродливый взгляд, иногда он похож на абаасы. Однако, согласно сюжетной традиции каждый герой должен завершить свои походы и вернуться к нормальной мирной жизни. Тогда его взгляд приобретает нормальные человеческие черты.

Особое значение автор приписывает монологам олонхо, по форме похожих на ораторскую речь. В них герой выражает свои мысли, дает оценку событий, предъявляет свои требования. Поэтому монологи служат для укрепления сюжетной линии олонхо, тесно связанной с поведением героя.

В дальнейшем автор приступает к характеристике второстепенных образов олонхо. Хотя они имеют вспомогательную функцию, все-же играют важную роль в понимании главного героя. Эти образы в сопоставлении с образом главного героя дают возможность оттенить его достоинства. К второстепенным образам олонхо автор относит богатырей, ставших жертвами племен абаасы, братьев героя и невесты и богатырей-стражей.

Интересна глава, посвященная образу женщины-героини олонхо. Героиней следует считать женщину, из-за которой происходит борьба богатырей. Образ героини связан с главными идеями олонхо, и, следовательно, с задачами, которые решает герой.

К противникам героя принадлежат абаасы и тунгусы. Набег богатырей абаасы наиболее часто выражается в форме похищения женщин. Похищение часто предшествует „сватовство“ абаасы, которое в олонхо изображается как начало конфликта. Богатырям абаасы приписываются всевозможные пороки. Их внешний облик изображается в карикатурном виде. Однако, в олонхо встречаются не только чисто эпические противники абаасы, а также исторические противники — тунгусы, повидимому абorigенное население Якутии. Их изображение в олонхо является более сложным и противоречивым, чем противники абаасы. Они имеют не только отрицательные, а также положительные черты. Единственной причиной борьбы героя с тунгусским богатырем является похищение женщины или невесты героя. Тунгус изображен не как разрушитель страны, хотя он очень упорный и энергичный противник. Так борьба между героем и тунгусским богатырем в олонхо представляет чисто жизненный конфликт.

Последняя глава книги Пухова посвящена образам рабов и рабынь в олонхо. Домашнее, патриархальное рабство, с каким мы встречаемся в олонхо характерно для эпохи распада общинного строя. Особое внимание автор уделяет популярным, традиционным образам рабов — старухи-рабыни Симэхсин и раба-табунщика Сорук Боллура, и связанным с ними сюжетам и мотивам олонхо.

Книга Пухова доказывает, что родовые, патриархальные отношения хотя и были разложены, однако, они не были уничтожены, и жили также в классовом обществе. С другой стороны представление олонхо о том, что племя представляет человеческое общество, указывает на живое племенное сознание. Настоящими людьми являются лишь люди своего племени или

рода, в то время как противники рода или племени представлены мифическими существами, или чудовищами и людоедами. В эпос вылетаются космогонические мифы, которые должны обосновать рождения счастливого мира. Герой ведет борьбу с нарушителями этого покойного мира. В живом эпосе мы не находим слишком много примеров для такой архаичной формы эпоса какой является олонхо. Можно указать лишь на карело-финскую Калевалу и кавказский эпос Нартов. В связи с этим значительный научный интерес представляет типологическое сравнение архаичных форм эпоса, а также отношение олонхо к эпосу других тюркско-монгольских народов. Возникает также вопрос о самом искусстве олонхосуты, их выразительных средствах. Такие и тому подобные вопросы встали перед нами при чтении содержательной книги И. В. Пухова, однако, они уже выходили за рамки ее проблематики.

Ján Komorovský

Salzner Richard, *Sprachenatlas des Indopazifischen Raumes*. Wiesbaden, Otto Harrassowitz 1960, Part 1—138 pp., Part 2—64 Maps.

The atlas is divided into two parts, i. e. an index and the atlas proper. The index contains a list of languages according to their genealogical classification, an alphabetical register, an exhaustive bibliography, and a list of geographical denominations. The second part consists of 64 maps. Some of them represent a general survey of main Indo-Pacific areas. Dialectal differences of individual languages are shown on more detailed maps.

Compiling a work of this kind is inevitably connected with numerous difficulties which for the time being cannot be overcome. This chiefly applies to some regions of Melanesia, New Guinea, Australia, Tasmania, and partially to Borneo and Celebes.

The term „Indo-Pacific“ is not to be understood in its generally accepted geographical sense. The author has adopted P. W. Schmidt's hypothesis on Austric linguistic unity. The Austric family is divided into Austronesian (1. Indonesian, 2. Oceanic: a) Melanesian, b) Polynesian) and Austro-Asian branches (1. Western: a) Khasi, b) Nikobarese, c) Na-Palaung-Riang group, 2. Eastern: a) Mon, b) Khmer group, c) Moi group, d) Cham group, e) Yumbrí). R. Salzner disagrees with P. W. Schmidt as far as Munda and Malacca languages are concerned. The Munda group is entirely out of the author's scope whereas Malacca languages are treated as a separate linguistic family. Besides, the atlas contains maps of languages belonging to the following families: North Halmahera, Papuan, Australian, Andamanese, and finally, in view of the Paul K. Benedict's theory, the Kadai too. The author does not take into account the immigrants' languages (English, French, Chinese, etc.). Territories without native population are marked only in the case of New Caledonia. Unfortunately, from the atlas are missing maps of the most important Polynesian areas—New Zealand and Hawaii. This lack is felt especially as far as New Zealand is concerned because of considerable differences between various Maori dialects.

There can be no doubt that this atlas will be duly appreciated by all persons interested in the Indo-Pacific area.

Viktor Krupa

Sovietico-Turcica. Beiträge zur Bibliographie der türkischen Sprachwissenschaften in russischer Sprache in der Sowjetunion 1917—1957. Budapest, Bibliotheca Orientalis Hungarica IX, Akadémiai kiadó 1960, 320 S.

Die Turkologie hat sich in den Jahren nach dem ersten Weltkrieg in raschem Tempo entfaltet und die Produktion der türkischen Literatur wurde infolge der Menge von Arbeiten unübersichtlich. Besonders reich gestaltete sich die Produktion der türkischen Literatur in der Sowjetunion, wo die Turkologie zu einer vaterländischen Wissenschaft wurde. Die sowjetische Verwaltung ermöglichte den Türk-völkern eine mächtige Entfaltung ihrer nationalen Kulturen; die Türksprachen erlitten Änderungen, machten eine Reform der Sprache und der Schrift durch. Es entwickelten sich in den einzelnen Republiken, wie in Baku, Taschkent, Aschchabad, Alma-Ata, Kasan u. w. neue Kulturzentren.

Die orientalistischen Zeitschriften und monographischen Arbeiten, wie z. B. ZDMG, Orientalistische Literaturzeitung, Orientalische Bibliographie (Berlin 1887 bis 1912) und weitere genügten nicht mehr und konnten auch die Produktion der turkologischen Literatur nicht mehr umfassen. Im Laufe der Zeit entstand eine ganze Reihe orientalistischer Zeitschriften, wie Oriens (Leiden), Studia Orientalia (Helsinki), Przegląd orientalistyczny (Warszawa), Acta Orientalia (Budapest), İstanbul Üniversitesi Edebiyat Fakültesi Türk Dili ve Edebiyatı Dergisi, usw. die auch turkologische Arbeiten in grosser Zahl rezensierten; sie genügten jedoch ebenfalls nicht zur Umfassung der ganzen Produktion und konnten deshalb kein Gesamtbild derselben geben. Es erschienen gute bibliographische Werke, die bestimmte Gebiete der Orientalistik umfassten (Index Islamicus, Cambridge 1958) oder ein anderes Gebiet der Turkologie (R. Loewenthal, *The Turkic Languages and Literatures of Central Asia. A Bibliography*. S-Gravenhage 1957) und eine ganze Reihe von Nationalbibliographien der einzelnen Türk-völker (*Türkiye Bibliografyası*, Ankara; *Türkiye Makaleler Bibliografyası*, Ankara; Ş. Ş. Sarybajev, *Bibliografičeskij ukazatel po kazachskomu jazykoznaniju*, Alma-Ata 1956; A. G. Karimullin, *Bibliografija literatury po tatarskomu jazykoznaniju*, Kazaň 1958, u. a. m. Diese Arbeiten waren einesteils den breiteren Schichten der Fachgenossen nicht zugänglich und konnten andererseits den Anspruch der Forscher auf eine Gesamtübersicht der turkologischen Produktion nicht befriedigen.

Grundlegende synthetische Werke, wie z. B. J. Benzing, *Einführung in das Studium der altaischen Philologie und der Turkologie*, Wiesbaden 1953 und *Philologiae Turcicae Fundamenta*, Wiesbaden 1959, geben zwar eine sehr reiche und wertvolle Bibliographie, können sie jedoch selbstverständlich nicht zur Gänze anführen, weshalb sie auch keine rasche, allgemeine Orientiation bieten.

Einen grossen Fortschritt bildet daher die Edition *Sovietico-Turcica*, die eine spürbare Lücke in der turkologischen Literatur ausfüllt. Diese bedeutungsvolle bibliographische Arbeit stellte das bibliographische Kollektiv des turkologischen Instituts der Budapester Universität, unter Redaktion von Georg Hazai, des bekannten jungen Turkologen, zusammen. Wie bereits im Titel angeführt, umfasst die Edition *Sovietico-Turcica* turkologische sprachwissenschaftliche Arbeiten in russischer Sprache, die in der Sowjetunion in der Zeitspanne 1917—1957 erschienen sind. Nach der Einleitung Prof. J. Némeths (S. 5—10) und des Redakteurs G. Hazais (S. 11—13), weiters der Übersicht der Abkürzungen (S. 17—54), folgt der bibliographische Teil (S. 57—291), der 2750 selbständiger Arbeiten umfasst, angeführt in alphabetischer Reihenfolge der Autoren, resp. der Schlagwörter (der Arbeiten

ohne Autorenangabe). Die einzelnen Arbeiten sind in russischer Sprache und deutscher Übersetzung angeführt. Ein Sach- und Namenregister folgt auf den Seiten 295—317.

Obwohl die Edition Sovietico-Turcica einige Mängel und kleinere Fehler aufweist (s. hierüber die Rezension F. Ašnins in *Izvestija AN SSSR, Otdelenie literatury i jazyka* No. 6, Moskau 1961, S. 530—541, und G. F. Blagovas in *Voprosy jazykoznanija* No. 5, S. 136—139, Moskau, 1961), die sich bei der zweiten Auflage leicht ausmerzen lassen, wird dadurch ihr Wert nicht gemindert. Es wäre wünschenswert, die Edition mit Arbeiten, die in ukrainischer Sprache erschienen, zu ergänzen. Dadurch könnten in diese Edition wichtige Arbeiten, wie z. A. E. Krims'kij, *Tjurki, ich movi ta literaturi*, I. Tjursks'ki movi, Kiiv, 1930, aufgenommen werden.

Für die Turkologie besitzt diese Arbeit, auch von anderen Standpunkten aus, grossen Wert. Wir können aus ihr einige wichtige Belehrungen schöpfen: a) um eine schnelle und verlässliche Orientation in der Produktion der turkologischen Bücher und Artikel zu gewinnen, kann auf eine retrospektive Bibliographie nicht gewartet werden, besonders nicht auf jene, die in langen Zeitabständen erscheinen. b) Dank der freudigen Entfaltung der nationalen Türkliteraturen und der unübersichtlichen und reichen Produktion der turkologischen Arbeiten, ist es nötig, eine systematische Dokumentation zu organisieren. c) Es genügen jedoch keineswegs blosse bibliographische Daten, sondern es muss zu jeder bibliographischen Einheit eine Information von einigen wenigen Zeilen beigelegt werden. Sonst könnte dieses wichtige Material nicht genügend nutzbringend angewendet werden, es käme zur Bildung von Bedingungen einer ungenügenden Orientation und wir würden uns gleichzeitig des Anspruchs auf eine breitere, sichere und allgemeine Orientation begeben.

Zu den Aufgaben, die uns Sovietico-Turcica stellt, scheint uns als die meist aktuelle eine weitere, ähnliche retrospektive Bibliographie auf anderen Gebieten der Turkologie, wie z. B. eine ethnographische, historische, folkloristische Bibliographie, zu sein. Ausserdem selbstverständlich die Vorbereitung einer „nationalen“ Bibliographie, wie z. B. eine Bibliographie der englischen, deutschen, polnischen, italienischen u. a. turkologischer Arbeiten. (Ähnlich wie z. B. *Türkiye Tarih Yayınları Bibliografyası 1729—1955*. İstanbul 1959, S. 680, oder *Bibliografija Turcii I*, Moskva 1961, II 1959 u. ä.).

Jedenfalls ist Sovietico-Turcica eine sehr bedeutungsvolle Publikation. Nicht nur, dass sie eine gute Hilfe für jeden Forscher bedeutet, hat sie sich grosse Bedeutung dadurch erworben, dass sie den wissenschaftlichen Zwecken der östlichen und westlichen Länder dient. Die Arbeit repräsentiert würdig sowohl die sowjetische Wissenschaft, als auch die ungarischen Turkologen, wofür wir ihnen zu Dank verpflichtet sind und weiteres Gedeihen wünschen.

Josef Blaškovič

Structure of Language and its Mathematical Aspects. Providence, American Mathematical Society 1961, 279 pp.

The collection entitled *Structure of Language* consists of a set of reports presented at the *Symposium on the Structure of Language and its Mathematical Aspects*. The Symposium was attended by linguists, logicians and mathematicians, due to which fact, as it is obvious, many new aspects appeared, though some of them were partly unhomogeneous.

All authors have paid the greatest attention to syntactical analysis so that it.

seems as if the structure of language is manifested only in sentence. This point of view may be perhaps explained by the fact that it is the question of syntax which represents the basic problem in mathematical logic. This is to be seen also in W. V. Quine's contribution *Logic as a Source of Syntactical Insights* (1—5). Quine in his report demonstrates the function of parentheses in indicating the grouping of elements: there is a difference between the utterance (*p and q*) or *r* and the utterance *p and (q or r)*. Further he points out the syntactical function of qualifiers and variables as well as the function of pronouns (in English it is possible to substitute by a pronoun only a substantive with definite article).

N. Chomsky in his extensive study *On the Notion „Rule of Grammar“* (6—24) emphasizes that grammar, in fact, is a theory of sentences of a language in question or a sort of device (a set of rules) which makes possible a complete specification of the infinite set of grammatical sentences of the given language and their structural description. Nevertheless, it does not synthesize particular sentences as it is done by the speaker, neither does it recognize the structure of presented sentences as it is done by the hearer; thus it is not a model of the speaker nor of the hearer either, being something neutral (7). Grammatical rules are divided into syntactical (by their use the terminal string is formed) and morphophonemic ones (they convert the terminal string into the phonetic indication of the utterance).

Important elements of the structural description of sentences are the so called phrase markers. Further, however, N. Chomsky demonstrates that it is not always possible to obtain the correct set of phrase markers by use of the method of immediate constituents (IC), because immediate constituents distort the sentence structure. Better results may be achieved by transformational analysis, since the results of transformation can be further transformed and thus an infinite number of phrase markers may originate.

Chomsky's study serves as a basis for H. B. Curry who in his article *Some Logical Aspects of Grammatical Structure* (56—68) states that it is not necessary to lay phrase structure and transformational grammar on two levels if functors as basic grammatical category are introduced into syntactical analysis (with names and sentences). H. B. Curry starts from a purely logical comprehension of language as a system of symbols able to be combined into utterances.

Another approach to sentence structure is presented by H. G. Herzberger in his study *The Joints of English* (99—103). According to his opinion structural relations are dependent on the relations between the center of a sentence and its adjuncts; the adjunction being defined as a special relation in segmental structure which enables to describe complex sentences on the basis of a given set of elementary clauses or adjunct strings. Typical adjuncts are relative clauses and predicates.

J. Lambek elaborates his syntactical calculus (*On the Calculus of Syntactic Types*; 166—178). On the principle of the so called associative calculus it is possible to transfer many grammatical rules into the dictionary in such a manner that with every word its grammatical categories and syntactical properties are given. Then a set of words can be analysed purely mechanically what is of significance also for machine translation. It is not, though, yet clear, in what extent and for which languages is this method suitable. For further research it will be still necessary to introduce certain transformational rules.

A. G. Oettinger's attempt at an automatic syntactical analysis (*Automatic Syntactic Analysis and the Pushdown Store*; 104—127) is worked out for special needs of machine translation. On the basis of predictive analysis the author endeavours to establish

algorithm by use of which it would be possible to discern between a grammatical and non-grammatical sentence.

H. Hiž in his sentence analysis (*Congrammaticality, Batteries of Transformations and Grammatical Categories*; 43—50), contrary to generative grammar, starts from a body of sentences, grouping them into grammatically connected clauses, and thus, by detecting similarities and differences he comes to both sentence structure and smaller units than is sentence. As for congrammaticality, one of the basic notions of his theory, he defines it as a relation between sentences, not between abstract structures: this relation can be reflective, symmetrical and transitive. Another of basic notions is battery of transformations, i. e. a line, the elements of which are sequences or negations of sequences.

Connected with syntactical structure is also the hypothesis of V. H. Yngve on the depth of analysis (*The Depth Hypothesis*; 130—138). It is based on the observation of psychologists that a human being is capable to memorize in average seven items at once. The structure of the English sentence, detected by generative grammar, conforms to this observation: In applying rules of generative grammar to the left direction (regressively) the number of rules does not surpass four. In applying these rules to the right direction (progressively) there is no need of any limitation, since it is not necessary to lay such items into the memory which would require continuity in further analysis. Progressive constructions may be infinite (such as coordinative syntagms). It would be interesting to find out how does this hypothesis work in syntactical analyses of other languages and in what manner does the „depth of analysis“ influence the possibilities of stylistical substitution of utterances.

No more than one contribution of the whole collection deals with questions of phonemics. It is the study of G. E. Peterson and of F. Harary *Foundations in Phonemic Theory* (139—165), based on the mathematical apparatus of the theory of types and of the theory of relations which ought to retain the relationship between phonetics and phonemics. In phonetic description the authors start from physiological formations, since according to their meaning speech is organized and coordinated in congruity with the physiological mechanism. The formation of phones is the principal fact, whereas the acoustic form is more accessible to investigation. It must be taken into consideration, however, that though acoustic waves are products of physiological formations, one acoustic variable does not correspond to every physiological variable and vice versa. Physiological vowel, consonant and prosodic parameters divided by the authors into primary and modifying, are physiological parameters of speech. For every phone (time segment of a set of concurrent functions of physiological vowel or consonant parameters, involving approximation to one and only one vowel or consonant target) it is possible to compute the value of these parameters and thus to measure precisely the phonetic difference between pairs of phones. From this it may be seen that this difference is of zero value only between p—p, b—b; between p—b, t—d, k—g, f—v, s—z it is 2,21; between p—k, b—g, it amounts to 4,26; the greatest one — 6,43 — occurs between f—z, v—s.

Single phones are arranged into classes; general properties of this arrangement are detected by phonemic theory. This theory, therefore, does not render means for discovering phonemes, but only defines sets of elements into which speech can be arranged. To define phonemes the authors make use of the notion allophone, viz: phoneme is a set of allophones which lie in primary phonetically related sets having nonsimilar phonetic environment and having canonical allophones with pairwise minimal phonetic difference. These allophones may be marked with discrete

symbols. And the main aim of the study is to find the way of this marking.

General questions are dealt with in the studies of H. Putnam (*Some Issues in the Theory of Grammar*; 25—42, with a controversy against Jakobson's comprehension of false sentences), of R. Abernathy (*The Problem of Linguistic Equivalence*; 95—98), of R. Wells (*A Measure of Subjective Information*; 237—244) and of C. F. Hockett (*Grammar for the Hearer*; 220—236).

B. Mandelbrot in his extensive study *On the Theory of Word Frequencies and on Related Markovian Models of Discourse* (190—219) criticizes Zipf's law of word frequencies, as well as attempts to use lognormal distribution of words. The main aim of the study, however, is to demonstrate that laws of word distribution may be used also for diachronic research. In fact, historical questions are involved also in the study of H. A. Gleason jr. *Genetic Relationship among Languages* (179—189). In it the author states that lexicostatistical methods may be used with success for investigating genetically related languages by means of machines, presenting two methods of his own.

Some of the studies discuss relatively marginal regions, such as *Graphs for Linguistics* by N. Goodman (51—55), *Graphic and Phonetic Aspects of Linguistic and Mathematical Symbols* by V. R. Chao (69—82) and *On the Formalization of Handwriting* by M. Eden (83—88). Nevertheless, also in these studies some remarkable observations important for linguistics may be found.

R. Jakobson in the conclusive study *Linguistics and Communication Theory* (245—247) discusses common problems of linguistics and of communication theory. He points out particularly the necessity of taking into consideration also redundant features, not only distinctive ones in the course of linguistic investigation. Further the author emphasizes the importance of the notion of code and the necessity of paying attention to the investigation of grammatical information (according to Jakobson also the system of grammatical, particularly morphological, categories, is based on binary oppositions).

At the end of the collection there are items from discussions on single reports, as well as organization data and detailed index. The ideas expressed in some of the reports present new aspects of language structure. It will be necessary to think them over and to complete them.

Ján Horecký

Strong Anna Louise, *Cash and Violence in Laos*, Peking, New World Press 1961, 174 pp.

Depuis la seconde guerre mondiale l'attention du public international s'est tournée à plusieurs reprises vers le Laos. Pour la première fois à l'époque de la guerre de libération nationale des peuples indochinois, lorsque le peuple laotien participait, aux côtés de ses frères du Vietnam et de ceux du Khmer à la lutte commune contre les colonisateurs français et lorsqu'il apportait son aide lors de la liquidation définitive de la forteresse de Dien-bien-phu, située au Vietnam du Nord-ouest dans la proximité des frontières laotiennes. La chute de cette ville était le dernier flamboiement de toute une série des défaites et d'échecs qui ont contraint les occupants à mettre fin à la guerre coloniale et à conclure les accords de cessez-le-feu de Genève en 1954 sur la base de reconnaissance de l'indépendance de tous les trois États indochinois.

Cette étape terminée, le Laos est entré de nouveau sur la scène internationale dans un nouveau, mais non moins important rôle. Le cessez-le feu a eu pour point

de départ le fait qu'au Laos il existait d'une part un mouvement libérateur et d'autre part un gouvernement royal, ce qui précisa et détermina la ligne de démarcation de l'influence des deux, pour un certain temps, après lequel on devait parvenir à la réunification nationale sur la base de l'égalité des droits civiques des participants de la résistance et sur celle de la neutralité sur le plan de la politique extérieure du gouvernement royal élargi.

Les tentatives d'accomplir les conditions posées par le cessez-le-feu, qui ont été reprises, ont par leur importance dépassé l'État laotien plutôt de grandeur modeste. Il s'agit d'un cas sans précédent et jusqu'ici unique en tant qu'un pays, divisé après la seconde guerre mondiale, a été réuni par voie pacifique et que par la suite par la suite celui a constitué un gouvernement de coalition avec la participation et de la droite et du centre politiques comme aussi avec celle du mouvement libérateur populaire de la gauche. Et tout cela s'est fait sur la base de neutralité et dans l'absence des pactes militaires.

Cette solution a sans doute confirmé que ce qui a été possible au Laos ne serait exclus, après des modifications dues, ni dans la Corée également divisée ni au Vietnam ni, peut-être, dans un certain sens, dans l'Allemagne divisée.

Les larges connexions de ce fait sont une raison de plus pourquoi dans le monde entier les forces attachées à la paix, poursuivent avec tant de sympathie tout avancement de l'évolution dans l'affaire laotienne et pourquoi les impérialistes, au contraire, font des obstacles à un règlement définitif par voie pacifique.

En vue de cet arrière-plan, Anna Louise Strong, publiciste américaine connue et approchée, elle aussi, la question du Laos dans son ouvrage *Cash and Violence in Laos*.

En premier lieu elle fait des observations sur la situation internationale dans l'Asie du Sud-est, depuis la seconde guerre mondiale. Elle touche aux relations des grandes puissances impérialistes en face de cette partie du monde et montre surtout la tâche des Américains d'y atteindre la suprématie devant les autres puissances colonialistes. En même temps, l'auteur a réussi à saisir de façon impressionnante l'arrière-plan historique sommaire et de rendre l'opinion public comme aussi toute l'atmosphère économique-politique qui se produisent dans les pays de l'Asie du Sud-est par suite de la pénétration du capital et de la tutelle américains. Toujours dans le premier chapitre, elle prête attention en particulier à la méthode de faire usage de l'argent et de la violence, d'où le titre de l'ouvrage et qui est, en même temps, caractéristique pour le néocolonialisme américain. Sur l'exemple des Philippines où les USA dominaient durant un demi siècle, l'auteur démontre que les nouvelles formes de mainmise sur des pays étrangers s'affirmaient en fin de compte plus avantageuses encore que l'ancien type du colonialisme. Les mêmes expériences dans des formes les plus variées ont été mises en valeur par le gouvernement américain aussi dans les pays indochinois, surtout dès le moment qu'il était clair que son cours hasardeux et ses propositions d'extension de la guerre indochinoise se heurtaient à des inquiétudes et au non consentement de la part de la Grande-Bretagne comme aussi de celle de la France qui finit par signer plutôt le cessez-le-feu.

Dès lors il ne restait aux États-Unis que de pénétrer par des moyens non militaires et par une intervention illégale dans les affaires intérieures de ces pays. L'attention de A. L. Strong porte justement sur cette activité. C'est dans cette connexion qu'elle évalue la conférence de Genève en tant que l'ouverture de la troisième étape de pénétration des États-Unis dans l'Asie du Sud-est où ils avaient renforcé leur position

surtout par la voie de l'association impérialiste de S.E.A.T.O. Outre cela l'auteur fait preuve du fait que les successives interventions néocolonialistes américaines dans ce domaine, depuis l'an 1950, faisaient partie du plan étendu pour l'encerclement de la Chine populaire.

Ensuite l'auteur se préoccupe de la question dans quelle mesure le peuple laotien a-t-il réussi d'acquiescer des conditions favorables, de maintenir et même profiter des résultats du cessez-le-feu signé à Genève, dans cette situation géographique-politique pénible. Pour commencer elle présente une vue générale des problèmes géographiques, historiques et de ceux des nationalités du Laos. Le troisième chapitre est consacré aux différentes façons appliquées par les Américains pour pénétrer au Laos depuis l'an 1954. Étant donné que le sort de chaque État indochinois est très étroitement lié l'un à l'autre, l'auteur se voue à ce propos aux tentatives américaines de miner la neutralité du royaume du Cambodge qui, tout comme la neutre Birmanie, est voisin du Laos et pourrait influencer celui-ci par son exemple. Suti une description empruntée essentiellement à l'ouvrage: *Mekong Upstream* par W. Burchett. Les multiples variations de la situation et la conclusion faite d'après les données de la commission du Congrès américain nous montrent clairement qu'autant plus intenses étaient les interventions de la part des Américains autant plus nocives étaient leurs conséquences dans la vie politique et économique du royaume du Laos où le désarroi et la corruption ont fait désormais leur entrée.

Qu'est-ce que „Pathet-Lao“? La réponse à cette question se trouve dans le IV. chapitre de l'ouvrage présenté. En 1961 l'auteur a eu l'occasion de rencontrer personnellement le chef de ce mouvement populaire anti-impérialiste. Elle caractérise ce mouvement comme modéré et simple qui, dans ses revendications sociales, ne va même pas aussi loin comme l'avait fait New Deal de Roosevelt, avant la seconde guerre mondiale. Le programme électoral du Pathet Lao a stipulé, entre autres, un plan de construction économique à long terme lors duquel la propriété privée doit être observé de même que le droit d'investir sur le plan de construction et sur celui de production. Comme particularité de l'Asie, donc aussi de l'Asie du Sud-est, l'auteur relève le fait que tout problème agraire y est non existant, par conséquent aucun plan de réforme agricole non plus, étant donné que le terrain est en excédent. L'auteur confirme la force de ce mouvement et son enracinement dans les masses populaires par l'évasion fameuse de ses chefs avec leurs gardiens de la prison et par l'échappement adroit du deuxième bataillon du Pathet-Lao, qui, lors des négociations a été encerclé par des troupes qui étaient au service des Américains.

L'auteur de l'ouvrage présent a eu l'occasion de faire la connaissance d'autres personnalités dirigeantes laotiennes encore et c'est sur le destin et sur les actes de celles-ci qu'elle analyse la situation de la politique intérieure du Laos. Elle s'exprime avec une certaine réserve à l'adresse de tels dirigeants du centre qui se sont habitués d'accepter l'appui de la gauche comme la chose la plus naturelle du monde au même moment où eux-mêmes font des concessions considérables à la droite. En ce qui concerne l'organisateur du coup d'Etat neutraliste de l'an 1960, Kong Le, elle l'apprécie, au contraire, avec des sympathies illimitées et par ce fait même elle surestime son rôle comme aussi ses relations avec le chef du Pathet-Lao.

Dans le chapitre suivant qui a pour sujet les victoires remportées par les troupes populaires et neutralistes dans la Plaine des Jarres, au cours de l'an 1961, A. L. Strong dénonce l'intervention étendue des États-Unis et de leurs mercenaires d'Asie, c'est dire de la Thaïlande, des Philippines, du Vietnam du Sud et du Taiwan, commandés

tous par des officiers américains. Les troupes du gouvernement de mutinerie réacteur finirent par passer de plus en plus nombreuses aux côtes des forces populaires et c'est ainsi qu'en 1961 des conditions réelles se produisirent pour le succès d'une autre conférence de Genève, avec la participation de 14 pays, qui devait confirmer la neutralité du Laos unifié et de son nouveau gouvernement royal de coalition.

Dans la minutieuse description du déroulement de cette conférence, A. L. Strong se préoccupe aussi des différentes ingérences organisées sans succès derrière les coulisses par A. Harriman. Dans son manuscrit l'auteur n'a pas saisi les résultats de la conférence de Genève dont la première phase s'est déroulée au cours de l'été de l'an 1961. Des raisonnements sur la convocation de cette conférence, sur les perspectives et les conséquences supposées se terminent par un appel aux Américains. Pour qu'ils se rendent compte, elle leur rappelle que leur gouvernement alimentait la guerre civile au Laos et que c'était lui qui, à trois reprises, organisait le renversement des gouvernements neutres; et que s'il fait semblant d'être réconcilié avec la neutralité de ce pays, il ne cesse pas de faire des tentatives pour en créer un piéton de ses plus gros plans de guerre.

Dans le chapitre final de l'ouvrage, l'auteur revient à des problèmes mondiaux en général. Elle s'aperçoit du fait que le nouveau gouvernement américain n'a pas abandonné l'ancien cours d'interventions dans tous les coins du globe terrestre et surtout dans l'Asie de l'Est et du Sud-est. Elle parvient à la conclusion qu'en attendant il faut compter toujours à de telles influences nocives des États-Unis sur l'évolution mondiale.

L'apport de ce livre consiste avant tout dans toute une série des détails et des connaissances que l'auteur avait acquis lors de son séjour au Laos et au cours de ses entretiens avec les hommes de politiques laotiens comme aussi le juste classement du sujet dans les relations entre les systèmes capitaliste et socialiste et dans la situation internationale en Asie. Cependant, lors de l'explication de certaines phases du développement laotien, l'auteur se limite, ci et là, à la présentation des événements dramatiques sans faire une analyse de forces politiques en tant que leurs facteurs. Dans les passages portant sur l'histoire, elle s'appuyait surtout à l'oeuvre de valeur de W. Burchett. Les données concernant les ingérences de caractère financier ont été puisées des sources officielles du Congrès américain.

En somme on peut constater que l'ouvrage présente un renseignement introducteur sur le problème laotien contemporain, surtout à l'intention du lecteur américain qui, d'après le séjour de l'auteur au Laos et en Chine, doit être orienté vers une vue plus juste et plus fondée des méthodes et des buts de la politique extérieure américaine, dans ce domaine. L'ouvrage aurait eu un effet plus achevé si l'auteur n'avait pas arrêté son explication avant que l'accord de la conférence de Genève de 1961 fût concluscar, cela va sans dire que cet accord représente un nouveau tournant dans l'histoire récente du Laos.

Ivan Doležal

Teeuw A. with the assistance of H. W. Emanuels, *A critical survey of studies on Malay and Bahasa Indonesia*. Koninklijk Instituut voor Taal-, Land- en Volkenkunde, Bibliographical Series 5. 's-Gravenhage, Martinus Nijhoff 1961, 176 pp.

The bulk of the book is devoted to a critical text (6—90) divided into 36 chapters dealing with grammars, dictionaries, editions of old manuscripts and inscriptions, folklore, literature, ethnography, historiography, translations of the Bible and the Koran, dialect studies etc., and with the contents of the periodicals Dewan

Bahasa, Pembina Bahasa Indonesia, Medan Bahasa and Bahasa dan Budaya. In the text there are references to the bibliographical list presented in alphabetical order (91—157). The necessity for cross-references makes itself felt, however, as students should certainly like to know what Professor Teeuw had to say about a book they are just studying. The reader will also find a supplement containing a list of manuals for the study of Malay and Bahasa Indonesia (158—171) as well as a list of abbreviations of journals referred to in the book.

As this bibliographical series is primarily edited in order to stimulate further studies in Indonesian culture and languages, the author was not concerned with compiling of what might easily have become a survey covering all of the scientific literature written hitherto on Malay (Ml) and Bahasa Indonesia (BI) (1). Some of the works are, indeed, either obsolete or not relevant to scientific description of these languages. The same goes for a great deal of other works included herein which may so far be interesting only from a historical point of view. The vast number of data (about 1,500) accounts for the fact that there was no place here for a more detailed criticism and hence we often find what might rather be called a commentary on the usefulness of the works quoted making the book in fact a very practical and safe guide for linguistic studies in Ml and BI. It is a well considered summary of research done in past years. The results achieved are, however, not very satisfactory: Collecting works (vocabularies, editions of manuscripts and inscriptions etc.) — of which not only pure linguistic but also various other works that may be useful for linguists are included (35) — are of more lasting value and may be put to good use even today. Less valuable are the descriptive and explanatory works which are till now under the influence of traditional europeanizing methods, so that they are not able to give an adequate description (of the structure) of Ml and BI. This correct view is evident almost on each page of the book. The inadequacy of the description prevented often utilizing Malay material in studies on general linguistics, though according to the author's opinion it is frequently made use of (52). But the adduced bibliography does not prove it.

The new political situation which arose after 1945 made it necessary, of course, to write several complete grammars of BI by Indonesian authors, but even so many fundamental problems remain to be solved. We still do not know, for instance, the proper meaning of the term „word“ in BI, nor can we clearly distinguish the particular classes of morphemes or the grammatical categories. Many partial studies will have to be carried out before it will be possible to compose a modern grammar of BI, the main problem still being what method should be used in compiling such a work and what should be included or excluded from BI. The influence of the bilingualism of BI speakers may be clearly traced not only in spoken BI but even in the grammars written by native authors.

The scope of studies in Ml and BI linguistics has been comparatively small: Particular attention has so far been paid only to morphology (especially to „conjugated“ forms) and lexicography. In recent years, however, not only the object of investigation considerably widened but studies on Ml and BI are being undertaken in several countries in accordance with the ever-growing importance of these languages. It would be very welcome indeed if this kind of bibliographical survey covering the whole field of Indonesian linguistics could every year be published in a periodical. If the collection were less comprehensive, more room would be left for criticism which is the best stimulus for correcting mistakes.

Gabriel Altmann

Teselkin A. S., *Yavanskiy yazyk*, Moskva, Izdatel'stvo vostochnoy literatury 1961, 73 pp.

The book is a brief survey of Javanese language taking over the opinions of other students; it does not bring new discoveries. Being the first book on Javanese written in Russian, to this book the credit is principally due that it lays the foundations to these studies in U.S.S.R., but for that very reason it exposes the further studies to the risk that they will be carried on in the same traditional spirit which the book is written in. Apart from this fact it may be used as a good introduction to the Javanese as it was known before the appearing of E. C. Horn's *Beginning Javanese* (New Haven and London 1961) which may be consulted for newer discoveries. Teselkin's grammar contains the phonemics, the Javanese alphabet with a sample text, the description of the lexicon, morphology, and syntax, as well as a brief Javanese text with translation and grammatical commentary.

Gabriel Altmann

Trümpelmann Leo, *Mshatta, the Mansion in the Desert of Jordan*. Tübingen, Max Niemeyer Verlag 1962

The essay on Mshatta was interested in an attractive study of a mansion in the desert of Jordan the highly estimated façade of which was given a present to Germany by Sultan Abdul Hamid II in 1903. At first the research was trying to describe the mansion mainly from the architectonic point of view. After the dissertation, the elaboration was published in a rather abridged edition.

The whole of the essay is divided into the following parts:

1. The preface preceded by a list of abbreviations of the scientific sources having been used for the elaboration and put in an alphabetical order.
2. Three chapters studying gradually the problem of the mansion.
3. The epilogue comprehending all notions of the previous sources as well as the author's own discoveries with a compendium of this research.

The elaboration is closed with a careful index and seventeen pages of illustrations comprising the plan of the mansion, two compositive schemes of Mshatta's façade, and several photographic snaps. The whole makes one feel the author did his utmost to treat this study in a strictly systematic way.

In the preface which is concise but full of facts without any useless sentence, the main of the elaboration was presented with an obvious explanation under what conditions and with whose co-operation it came into existence. In the first chapter the essay started with the very study. There is a concise summary of the results of the previous research on this building and all of the sources have been critically gathered and qualified.

In the second chapter the author continued in expounding the critical standpoints in a productive discussion. Despite several considerable difficulties, occurring during the research and mostly solved from the architecture's point of view only, and, consequently, almost omitting the sources of the historical, philological and, maybe, even some other branches of science (i.e. without seeking for various sorts of historical official records and manuscripts referring to this building) the author gradually came to a veritable conclusion by means of architectonical materials showing that this historical building had taken its existence since Umayyades' era, i.e. since the early Islamic epoch. By means of a chronological method, according to the features

of the design of the mansion, according to its inner furnishment and equipment customary just during the early Islamic epoch, according to the analogy with some other buildings of that era, the former characterization of Mshatta's origin was being gradually approved having eliminated all other supposed erroneous opinions on this subject that may have occurred on the basis of some elements of design and ornamentation somewhat remembering the Antique instances. After a closer investigation of the summed arguments it was found out that these elements, remembering some teachers of the Ancients, were produced far later on by architects of the Islamic culture with the effort to imitate the high standard of the Ancient culture. Leo Trümpelmann quoted a great many of examples to prove true that those features of Mshatta seeming to be so ancient in their origin are but later imitations. The author, after having collected a long row of arguments heading for concordance in the conception about Mshatta with its highly estimated façade, characterized the mansion as that originating in the Umayyades' era inspite of false sounding of many features of this building.

The first two chapters, characterizing the building as a whole, are followed by the next one attending to the highly estimated artistic façade nowadays taken to be one of the most important exhibits in the Islamic department of Museum in Berlin. This chapter titled Analyses of Design of Mshatta's Façade is still divided into two parts the first of which is interested in the affinity of the façade to the construction of the mansion. After having past all eventualities of mutual relations within this scope, it compares the technics of the Ancients' original way of building with that of Mshatta. This part of treatise, after a detailed observation of the mansion, is crowned with the surprise at the striking difference occurring between this building and those having been erected with the classical technics of the Ancients as well as how much the geniuses of architecture in Orient were capable to transform such ancient original forms into quite a new style which we can find since the early period of the Islamic Middle Ages.

The second part of the third chapter treats the characteristic features of Mshatta's façade. It systematically estimates each of its elements on its right half and compares with those of the different left half. This part of treatise is closed with the comparison of Mshatta's ornamentation to that of Hirbat al-Mafdjar the mutual similarity of which seems to be enormously striking just at the first sight.

The elaboration ends with the closing chapter expressing a sure conviction that both Mshatta and its façade may have come out just from Umayyades' era. The author found out that the inside furnishment of the mansion as well as the main features of the ornamentation and the trimmings of the building were in close connection with its façade and that there were mutual relations of all those stylish elements to one another.

There are no important objections against any part of the dissertation, published in its abridged form. Its topic is sure to be remarkably interesting and from the cultural point of view highly valuable. The way the problem has been solved seems to bring a new scientific view not only for the scope of the architecture, but for a far wider interest of many Orientalists of the Near and Middle East, and last but not least still for those who have been interested in the development and historical transformations of the artistic forms of the Ancients in the long run till the later cultures. All these problems the beginning of which can be just the author's dissertation may form a large framed scope of the scientific interest.

Though there are no objections against the elaboration, several rather formal

items can be worth hinting. As a matter of fact there are some names used in the dissertation which have not been written in a uniform way due to various sources quoting the names rather differently. Thus, for instance, we can see „kuṣair“ in the sixth page, while rather differently written „Quṣair“ immediately in the next page. According to the quoted source by R. Rusaud in the tenth page we can see „Omeyyades“ (written in a colloquial way), while anywhere else the same written in the classical way as „Umayyades“. Even though this may accidentally happen just due to the exact quoting of different sources, it wants a short explanation that it has dealt with much the same matter but written in a different way. Otherwise there may be a danger that some of the less informed could have missed the right understanding or they could do it with some difficulties. This kind of items bringing formal differences only could be easily adjusted by any Orientalist.

In his book the author wishes that his work were not the last, but one of the first in the long row of scientific essays carrying on new attractive historical discoveries having been based on this dissertation.

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