

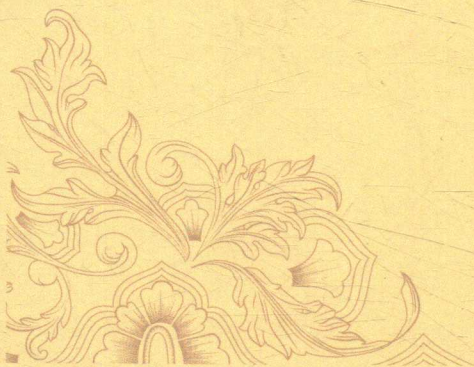


外国语言文学研究学术论丛 | 总主编◎文 旭

# 公共领域视野里的社会批评 ——菲利普·罗斯小说研究

胡 蕾◎著

Social Criticism in Philip Roth's Fiction:  
The Public Sphere Perspective



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北 京

## 内 容 简 介

本书系统分析了美国犹太作家菲利普·罗斯在其作品中表现出的对公共领域的批评,并论述了其社会批评策略和批评意识的发展变化。罗斯在其创作初期以喜剧式讽刺为策略,对堕落的公共领域进行了尖锐的批评;中期则充分利用替身游戏超越生死界限,来表现充满多样性、矛盾性与不确定性的跨国公共领域,并展现自己对犹太问题的独到思考和见解;创作后期又以现实主义再现为策略,真实地表现以碎裂性和琐碎化为主要特征的后现代公共领域。与此同时,他的社会批评意识经历了从激进到含蓄、保守的变化,而这些又与其犹太性和美国性意识的发展变化密不可分。作为极具社会批判意识和道德责任感的作家,罗斯通过贯彻其文学创作始末的公共领域的文本再现,试图引导读者从不同角度对公共性事件进行反思,这也在广泛意义上印证了文学的社会功能。

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## 丛 书 序

外国语言文学博大精深，其内容涵盖外国语言学研究、外国文学研究、翻译研究、外语教育研究及跨文化研究等。在我国，外国语言文学研究历史悠久、成绩斐然。近些年来，外国语言文学研究发展迅猛，其理论与模式不断创新，研究方法多种多样。尤其在研究领域方面，其跨学科性和交叉性日益凸显并普遍，如与哲学、符号学、心理学、社会学、人类学、认知科学、脑科学等众多领域的日渐交叉和融合，促使我们必须多维度、多视角、多层面地进行研究，从而在科研上真正做到有所创新、有所前进、有所作为。多学科、跨学科、超学科研究已是当今学术发展的必由之路。

当然，无论是从学科研究历史传统的传承上来看，还是从其未来发展的开拓创新上来说，外国语言文学研究都任重而道远。因此，与时俱进，汇聚外国语言文学领域研究的最新成果，并为先行者和后学共同搭建学术交流的平台便成为促进学科发展极为重要的一环。为此，我们秉承西南大学“特立西南，学行天下”的大学精神，在学界广大同仁的关心和帮助下，精心打造了《外国语言文学研究学术论丛》系列学术专著，以期促进外语界同仁相互沟通与交流，共同创新与进步。该系列学术专著的规模化出版，是西南大学外国语学院科学研究事业中的一件大事，其诞生是学院学科建设与科学研究事业发展的必然，同时也必将进一步搭建西南大学外国语学院学术成果交流的平台。

西南大学起源于1906年4月建立的川东师范学堂，于2005年由原西南师范大学、西南农业大学合并组建而成，是教育部直属重点综合性大学，国家“211工程”和“985工程优势学科创新平台”建设高校。西南大学外国语言文学学科历史悠久、实力雄厚。学贯中西的大师吴宓先生，著名诗人、文学家方敬，翻译家邹绛、外语教育家张正东等学术先贤和著名专家曾在此执教，积淀了深厚的人文底蕴，形成了优良的学术

传统和办学特色。西南大学外国语学院拥有“外国语言文学”一级学科博士学位、硕士学位授权点和博士后科研流动站，以及“翻译硕士”、“教育硕士”专业学位授权点，同时接收国内访问学者。学院拥有重庆市人文社会科学重点研究基地“外国语言学与外语教育研究中心”、西部地区外语教育研究会、重庆市外文学会、重庆市莎士比亚研究会等学术组织或团体。学院现有多名国内外知名专家学者，在认知语言学、语用学、功能语言学、莎士比亚研究、英美现代主义文学、翻译研究、外语教育学等领域有较深的造诣，并在多个全国性学术团体中担任重要职务。改革开放以来，学院秉承“博学中西，砥砺德行”的院训，以“崇尚学术自由、培养外语英才、造就模范国民”为办学宗旨，以学科建设为龙头，以科学研究为基础，在语言学研究、文学研究、翻译研究、外语教育以及文化研究等领域取得了一批学术价值大、实用性强的科研成果，多次获得全国和部市级的教学科研成果奖，在国内外产生了一定的影响。

本丛书的出版得到了西南大学学科建设的大力资助，外国语学院的许多教师以及各界朋友也给予了极大的支持，尤其离不开科学出版社阎莉女士的真诚相助，在此对他们表示衷心的感谢。诚然，这个新生婴儿的成长与发展，要靠广大学人的呵护和支持。因此，敬祈学界朋友不惜赐教为幸，也热忱欢迎同行专家不吝赐稿。我们将秉承西南大学“含弘光大、继往开来”的校训，继续不遗余力为本丛书的成长壮大添砖加瓦。

为学之道，“辟如行远必自迩，辟如登高必自卑”。共同的事业就是共同的生活情趣，也是共同的追求，“嚶其鸣矣，求其友声”。“行到水穷处，坐看云起时”，思考求索的起点，追寻学术的真谛，这就是我们的责任和使命。是为序。



谨识于西南大学

2014年6月22日

## 前 言

菲利普·罗斯是一位颇具影响力的美国犹太作家，他的文学创作既根植于犹太土壤，又从丰富的美国现实中汲取养分。在罗斯身上，犹太性与美国性共存，二者相互交融，形成了罗斯独特的观察视角和创作风格。他既是美国犹太文学的继承者也是革新者，善于以敏感、智性而内省的方式表现犹太个体的追寻，又特立独行，以备受争议的创作主题和丰富的后现代式创新艺术手法傲立于美国文坛。

罗斯的创作，玩味十足却又极端严肃，荒诞不经的创作表象难掩其内心的真诚，无论他的创作手法多么大胆，他的社会道德意识决定了其现实主义作家的本质。不管他所表现的个体追寻有多么抢眼，他对公共事件的关注、敏锐的社会批评意识和道德责任感也从未遁形，其中最显著的表达之一即是贯穿其文学创作始末的对公共领域的关注和思考。早在二十世纪六七十年代，罗斯的作品以精神、性欲层面对主体性建构的探讨见长，而在《我们这一伙》和《伟大的美国小说》两部作品中，对公共领域的关注就已经以政治讽喻形式初见端倪。随后，当罗斯对朱克曼系列灵动的个体塑造表现得游刃有余之时，《对立的生活》以剑走偏锋的势态直指公共领域，挑战犹太复国主义、以色列建国、巴以冲突等富有争议的话题，实验性地展开了政治、历史和身份构建之间的对话。这种趋势在《夏洛克行动》这场“地缘政治的阴谋”中展现得更加淋漓尽致。“美国三部曲”更是搅动了麦卡锡主义、反越战、反文化运动、克林顿性丑闻等一系列社会历史事件，刻画出二十世纪后半叶纷繁复杂的公共领域场景。其后的《反美阴谋》具有深刻的时代背景，罗斯虚构了1940—1942年的美国历史，以一个美国犹太家庭的生活变迁影射出重大



历史事件给美国社会及普通美国人带来的巨大冲击，表达了对二十世纪末以及二十一世纪初美国决策的质疑，也充分体现了罗斯自觉的责任感、道德感和危机感。

通俗用法和学术研究中的“公共领域”在概念上是有所区别的。大多数情况下，学术研究中的公共领域指的是公众舆论生成的空间；而日常话语中的公共领域则等同于“媒介”以强调信息的流通。本书中的公共领域理论是以哈贝马斯的公共领域理论为基础，结合当代公共领域研究中的跨国公共领域和后现代公共领域理论而形成的一个综合体系。从概念上来讲，本书中的公共领域是公民对公共事件进行交流的虚域。从功能上来说，它是一个渗透到个体或群体公民生活中的空隙性网络，是支撑个体对公共事务进行主观体验的带有抽象性质的场所。因此，公共领域严格来说是一个介于公共与私人之间的间隙地带，是一种非实体的隐喻性结构，政治性与文化性共存其中。从这个意义上来说，公共领域是研究罗斯小说的绝佳视野，它从主体性的建构中剥离出公共性的延展，从主观内省中窥见社会和历史全貌。本书分为三章，系统地分析了罗斯在其创作的不同阶段对不同类型的公共领域所进行的社会批评，论述其社会批评策略和批评意识的发展变化，从而表明罗斯是一个具有社会批判意识和道德责任感的作家。

罗斯早期作品中出现的不是哈贝马斯所推崇的理想的资产阶级自由主义公共领域，而是一个堕落的公共领域。由于生活世界被系统“殖民地化”，公共领域里操纵无所不在，真相被权力机构任意扭曲，具有批判精神的理性公众讨论失去了往昔的效力。罗斯在这一时期以喜剧式讽刺为策略，直接而大胆地表达政治愤懑，通过对人物的小丑化描写以及对语言滥用的滑稽模仿等，对堕落的公共领域进行了尖锐的批评。在这一时期，罗斯在作品中塑造了史密斯这样一个以写作最伟大的美国小说来揭示真相、对抗被操纵的公共领域的作家形象，并通过史密斯单枪匹马



的抗争来强调作家的社会责任感并强化文学的警世效力，这也体现出罗斯在这一时期具有的激进的批评意识。

伴随着对犹太性的反思和对犹太家园的探索，罗斯在文学创作中期将目光从美国本土转向以色列，出现在这一时期作品中的公共领域有别于传统意义的跨国公共领域。以色列公共领域不仅仅存在于单一的国家范围，国际势力参与使其他主权国家在以色列公共事件中发挥着巨大的影响力，以色列问题成为全球关注的焦点，不同国籍的公民都可以直接参与到这个公共领域中。这个跨国公共领域充满对复国主义、巴以冲突以及以色列犹太人与美国犹太人关系等的自由争论。罗斯充分利用替身游戏超越生死界限，穿越对立的生活，来表现这样一个充满多样性、矛盾性与不确定性的公共领域。罗斯对犹太问题不是一味地认同，而是有着自己独到的思考和见解，但由于以色列问题的复杂性和敏感性以及跨国公共领域参与的特殊性，罗斯以含蓄的方式来表达其社会批评。他通过替身自由地表现公众舆论的对立性，大胆地假想矛盾的解决方案，同时又避免过度暴露自身。替身游戏的文本表现形式是荒诞的，然而罗斯的思考却是极其严肃的。

美国性的回归使罗斯在文学创作后期再次关注美国现实。这一时期作品中尤为突出的是以碎裂性和琐碎化为主要特征的后现代公共领域。由于妇女运动、青年运动、民权运动、反越战运动等一系列社会运动的出现，以往统一的公共领域分裂成了若干不同的公共领域。在这些分裂的公共领域中，人们不再关注政治人物，不再热衷选举和理性的公共讨论；传统的公共参与方式被后现代参与方式所取代，激进主义与反文化运动打破了政治与文化、政治与日常生活的界限，成为新的公共参与形式。从另一方面来看，在后现代公共领域中，以前只属于私人领域的一些琐碎话题也成为公共讨论的内容。罗斯在这一时期表现出保守的社会批评意识，他以现实主义再现为策略，通过对人物社会经历的客观再现、

公共场景的缩影化构建等方式力求真实地表现纷繁复杂的后现代公共领域。这一时期，由于犹太性的回归，罗斯认为后现代公共领域危害社会稳定，造成家庭和个人的悲剧，并削弱了传统的犹太价值观，因而对其持否定态度，同时包含在其作品中的历史决定论也印证了他保守的社会批评意识。值得一提的是，2004年出版的《反美阴谋》展现出的虽然不是典型的后现代公共领域形态，却以虚构历史表现出的“虚幻”公共领域彰显出后现代公共领域的本真。在这个别样的公共领域中，主体叙事中无迹可寻的社会暗潮纷纷浮出水面，历史的可能性也包藏着公共事件和公众舆论的可能性。这段虚构的历史不仅是真实历史的补充，也是后现代框架下对公共领域现实再现的延续和深化。

本书中的公共领域强调公共参与的方式、程度及效果，不同形式的公共领域代表着公共领域在当代社会的不同发展方向。罗斯在文学创作的不同时期运用不同的批评策略对不同形态的公共领域进行了深入思考，与此同时，他的社会批评意识也经历了从激进到含蓄保守的变化，而这些又与他犹太性和美国性意识的发展变化密不可分。贯彻其文学创作始末的公共领域批评足以说明，罗斯是一个具有社会批判意识和道德责任感的作家。通过对公共领域的文本再现，罗斯试图引导读者从不同角度对公共性事件进行反思，这也在广泛意义上印证了文学的社会功能。

胡 蕾

2015年7月30日

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## Introduction

One of the facts partially accounting for the literary fame of Philip Roth (1933–) is the simultaneity of his arguable Jewishness, previously questioned but ultimately accepted with new interpretation, and his arresting Americanness, embodied in from the communal sense to the national awareness and even the international reference. As a controversial as well as an enchanting figure, Roth stands in the field of Jewish-American literature with one hand clutching tightly the fertile Jewish soil and the other hand mining the rich material beneath the American land. Over a career spanning more than five decades, Roth has been among the center of the intellectual ferment of the second half of the twentieth century and received serious attention from a range of reading constituencies. Elbowing his way all through heavy-flinging condemnations and high-sounding commendations, Roth has finally established himself as an exuberant writer of great significance.<sup>1</sup> Harold

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1 Roth's career began by *Goodbye, Columbus*, published in 1959, with the National Book Award. In 1969, the controversial *Portnoy's Complaint* rose to the best-seller list. A succession of awards have been successively granted to Roth since the 1990s: National Book Critics Circle Award for *The Counterlife* in 1987, *Patrimony* in 1992; PEN/Faulkner Award for *Operation Shylock* in 1993, *The Human Stain* in 2000, and *Everyman* in 2006; National Book Award for *Sabbath's Theater* in 1995; Pulitzer Prize for *American Pastoral* in 1997. In 2001, *The Human Stain* was awarded the UK's WH Smith Literary Award for the best book of the year; in 2005, *The Plot against America* won James Fenimore Cooper Prize for the Best Historical Fiction as well as the Sidewise Award for Alternate History. Roth was awarded the national Book Foundation Medal for Distinguished Contribution to American Letters in 2002 and 2010, National Humanities Medal and the Man Booker International in 2011 (prize for lifetime achievement in fiction on the world stage).

Bloom reaffirms that Roth is “centrally Jewish” because the pain of his protagonists is ultimately the result of the “incommensurability” between “a rigorously [Jewish] moral normative tradition” and “the reality of the way we live now” (Bloom, 1986: 2). Roth, however, has never given up the effort to “climb[ing] over the ethnic fence”<sup>1</sup>. As a Jew born in the new post-immigrant age where Goyish-Gentile conflict is no essential concern and a Jew experiencing his booming years in a politically and socially eventful era, Roth, like most of the Americans, cannot live without any political and social involvement in one way or another. As a man with extraordinary intellectual thinking, Roth, like all the other social realists, cannot live without self-conscious concern for and reflection on the public world. It is in Roth—the right person in the proper time—other than Saul Bellow and Bernard Malamud that we find the greater possibility to reveal a self-conscious critical awareness of the Jewish-American writers.

A better understanding of Roth cannot be separated from the development of the Jewish-American literary history and the place wherein Roth is posited. The Jewish-American literature in the first half of the 20th century finds its manifestation in early immigrant experience, hardship, assimilation and problems inherent in the process, in the works of Abraham Cahan, Mary Antin, Anzia Yezierska, Michael Gold, Henry Roth

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<sup>1</sup> The phrase originally appeared in the article “Climbing over the Ethnic Fence: Reflections on Stanley Crouch and Philip Roth” by Sanford Pinsker published in *Virginia Quarterly Review*, 2002, 3: 472-480. It was mentioned in the article that Roth slightly showed his complaint that the reviewers were too much concerned with his Jewishness as to neglect the fact that he has moved beyond the parochial boundaries. Pinsker used “climbing over the ethnic fence” to mean “moving beyond the parochial boundaries”.

and Nathanael West.<sup>1</sup> Since the early fifties of the twentieth century the Jewish American writers have been placed in a prominent position in American literature<sup>2</sup>, among which the cooperative effort of the group headed by Bellow, Malamud, Roth could never be underestimated<sup>3</sup>. From Bellow, “Jewishness moved in from the immigrant margins to become a new form of American regionalism” by naturalizing the immigrant voice (Wisse, 2003: 205). Thus, Jewish-American literature greeted the arrival of its Renaissance with the location of itself in the representation of “the crisis of modernity: the need to construct a post-Holocaust humane society” among which the principal themes confronted are “the identity oppositions; the Jew as

- 1 Despite a long-standing Jewish presence in America, the existence of a Jewish-American literature is a relatively recent phenomenon with its origins in the immigrant culture of the late 19th century and the early 20th century, a period in which a massive influx of Eastern European Jews settled in the United States. Abraham Cahan (1860–1951), with his *Yekl, A Tale of the New York Ghetto* (1896) and *The Rise of David Levinsky* (1917), quickly assumed the early literary leadership of a Jewish community and laid the foundations for the recurrent problems inherent in cultural readjustment or “acculturation”. Mary Antin (1881–1949) in *The Promised Land* (1912) showed her optimism towards American acculturation and paid homage to American life. *Hungry Hearts* (1920), *Salome of the Tenements* (1923) and *Bread Givers* (1925) written by Anzia Yezierska (1885?–1970) were concerned more with the inner life of American Jews. In the 1930s, while Michael Gold wrote *Jews Without Money* (1930) as a means of social activism and protest, Nathanael West (1903–1940), the black humorist, with his *The Dream Life of Balzo Snell* (1931), *Miss Lonelyhearts* (1933) and *The Day of the Locust* (1939), and Henry Roth (1906–1995) with his *Call It Asleep* (1934) tried modernism in their writing.
- 2 Saul Bellow and Isaac Bashevis Singer are two American Nobel Laureates; countless other awards such as Pulitzer Prize and National Book Awards have been granted to Jewish American writers over the last century. Many are among the big names of modern and contemporary American literature: Arthur Miller, Lillian Hellman in drama; Allen Ginsberg and Adrienne Rich in poetry; Bernard Malamud and Philip Roth in fiction; Harold Bloom, Leslie Fiedler, Geoffrey Hartman, Lionel Trilling and Susan Sontag in bibliography and literary criticism.
- 3 Gol Gittleman said, in *From Shtetl to Suburbia: The Family in Jewish Literary Imagination* (Boston: Beacon Press, 1978), that Bellow, Malamud and Roth represent “perhaps the most concentrated source of what has been termed Jewish-American fiction” (p. 150). In *On Culture and Literature* (New York: Horizon Press, 1970), Marvin Mudrick made the similar remark that “Malamud, Bellow and Roth have taken upon themselves the job of inventing the contemporary fictional Jew” (p. 200); he also says that “Malamud, Bellow and Roth are in a dry spell for American fiction, the most intelligent and the most considerable American novelists since World War II, in “Who Killed Herzog, or Three American Novelists”, *The Denver Quarterly*, 1966, 1 (Spring): 61.

existential everyman; Jewish writing as the inheritor of modernism; the literature of rootless, nomadic contemplation; and the varieties of American experience" (Fried, 1988: 3) other than the simple realistic description of the bewildering travails of immigrant Jews in a secular city.

It is difficult to fix Roth on a specific location in the Jewish-American literary history. Criticism can find him a novelist of close domestic observation, but also a writer immersed in international consciousness. In Roth one may discover vestiges of realism, and on the other hand he is notoriously metafictional in the widest sense. When his experimental enquiry about the old European Jewish home attracts much attention, it is easy for us to discover remnants of important Jewish American preoccupations in his works. Roth inherits both didactic realism and experimental modernism from the Jewish-American literary tradition and simultaneously absorbs postmodern innovation. From Saul Bellow, the Jewish-American fiction has been "avant-garde in its constructions, formulations, and basic focus on a renewed subject, a composite of a new struggling for consciousness which combines the 'ethical Jewhood'...with the inner studies of the new-born Jewish identity within new American ideas of selfhood" (Wade, 1996: 10). However, it is Roth that makes it avant-garde to the far-more-thorough-scale in the sense that in his works the post-Holocaust Jewhood is postmodernized and the private concerns are publicized, Americanized, and even internationalized. Thus, Roth is a far more important writer to show his readers that "how he wrote was as important as the contentious subjects he had always chosen" (Wade, 1996: 12).

Though placed in the same battlefield with acclaimed authors as Saul Bellow and Bernard Malamud, Roth has produced a substantial body of works



that stands on its own to make him more accurately a successor and innovator, an inheritor and betrayer. In one of the booming periods of Jewish-American literary writing, allegorical stress on traditional Jewish virtues, and proportionate identity perplexity are the popular themes in the fiction of Isaac Singer, Bernard Malamud and Saul Bellow. An agreement seems to be anonymously reached in most if not all the Jewish-American writers during the early period of post-Holocaust decades: the Jews have been strongly identified in American fiction with restraint, with the just response rather than with those libidinous and aggressive activities that are socially unacceptable and may even constitute criminal transgression. As far as Saul Bellow is concerned, his protagonists are almost measured Jews when matters of principle or virtue are at issue, but "are by comparison only faintly marked by their Jewishness, if they are Jews at all, when appetite and quasi or outright libidinous adventure is at the heart of a novel" (Roth, 1975: 224). If Bellow's longer works tend to associate the Jewish Jew with the struggles of ethnical Jewhood, the non-Jewish Jew and the Gentile with the release of lust and aggression, in the works of Malamud these tendencies are so sharply and schematically present as to give his novels the visage of moral allegory. Malamud transposes the sufferings of his characters back into "the confined spaces and Yiddish cadences" of the immigrant past (Wisse, 2003: 203), consequently, the Jews in his works are "a metaphor of sorts to stand for certain possibilities and promises" (Roth, 1975: 127). Implication here is that "he does not—or has not yet—found the contemporary scene a proper of sufficient backdrop for his tales of heartlessness and heartache, of suffering and regeneration" (Roth, 1975: 128). Roth, nevertheless, exemplifies himself as quite a distinct Jewish-American writer. In Baumgarten and Gottfried's

words, Roth “consistently depicts a more realistic social experience” as he “deploys more prominently than they [Bellow and Malamud] do a complex psychology of familial motivation and immigrant hope in his work” (Baumgarten & Gottfried, 1990: 17). He and his contemporaries experience America quite differently from their elders. Their adulthood arrives at the so-called post-immigration or post-assimilation period, a time when survival is no challenge, conflict against Gentiles no threat, and being American becomes an inherent call. The characteristic of Roth’s works lies in the fact that he writes about “the descendants of those immigrants who have found in America something they never imagined in Europe: the opportunity to define how they perceive or do not perceive themselves to be Jews” (Parrish, 1999). In the meantime, he never denies the Jewish history and culture. As a result, most of Roth’s characters are second or third generations, “struggling in different ways to come to grips with their Jewish heritage and the American environment that constantly impinges on it” (Halio, 1992: 2). Taking his works as a whole, one would find that it incorporates virtually all of the 20th century Jewish history from the European diaspora into America, to the Holocaust, and to the creation and consolidation of the state of Israel, yet in a highly individualized way. Roth accepts that it is his historical fate to be a Jew. Nonetheless, as a writer committed to the sense of his own self, he also asserts his power to reinvent the meaning to claim authorship of the process by which he came to be himself. Thus at the center of his fiction comes “an action of character transformation: a bizarre metamorphosis in which a new self emerges to stand in striking opposition to the old” (Parrish, 1999).

Roth has both enthusiastic supporters and vehement detractors among critics, as well as a large, appreciative audience of readers. He can be