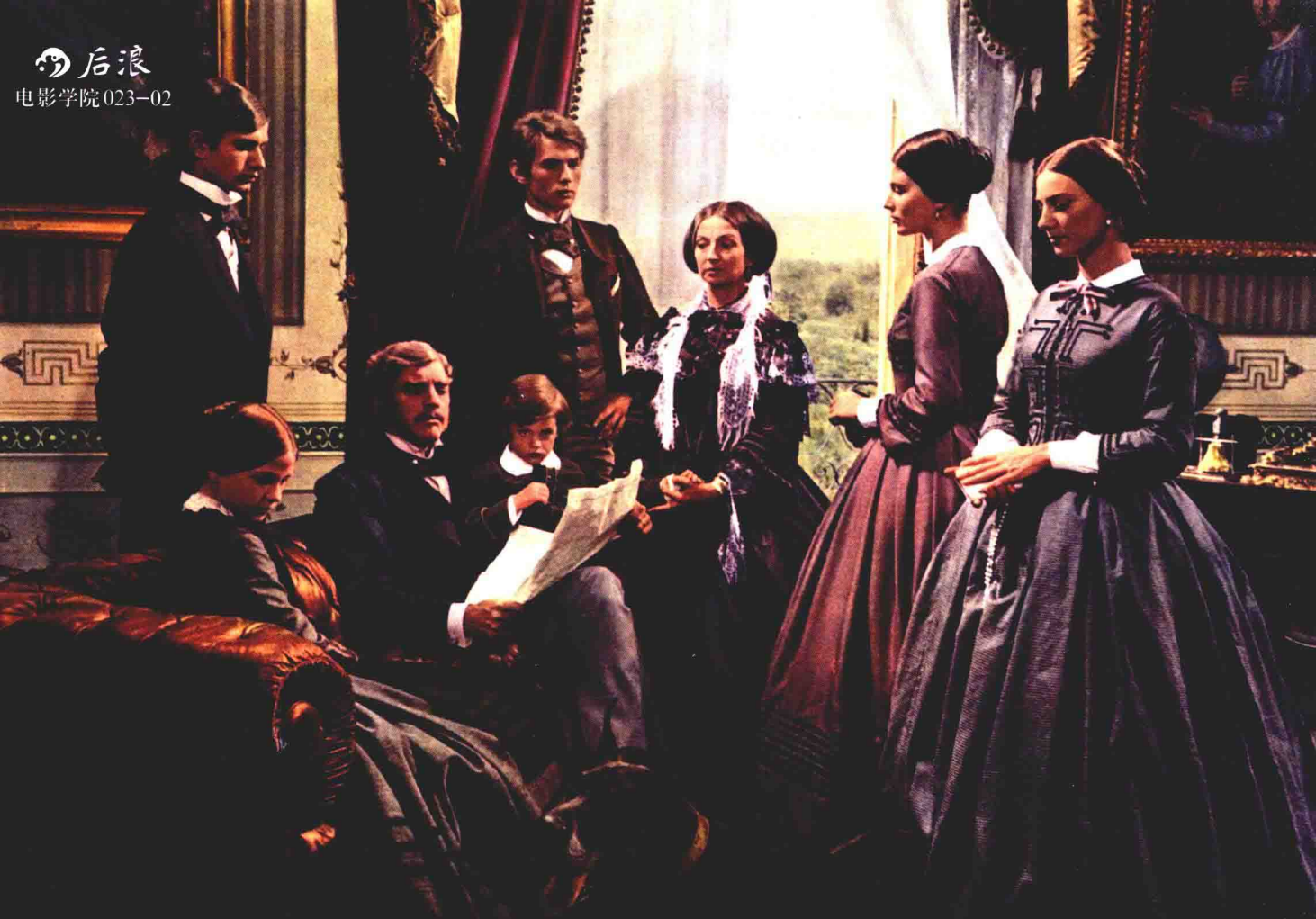


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Film History, 3e

David Bordwell

Kristin Thompson

# 世界电影史

(美) 大卫·波德维尔 克里斯汀·汤普森 著

(影印第3版)

北京联合出版公司  
Beijing United Publishing Co., Ltd.

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## 图书在版编目 ( CIP ) 数据

世界电影史：英文 / (美) 波德维尔, (美) 汤普森著. -- 北京：北京联合出版公司, 2015.10

ISBN 978-7-5502-6296-6

I . ①世… II . ①波…②汤… III . ①电影史—世界—英文 IV . ①J909.1

中国版本图书馆 CIP 数据核字 (2015) 第 229548 号

Kristin Thompson, David Bordwell

FILM HISTORY: AN INTRODUCTION, THIRD EDITION

ISBN: 0073386138

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## 世界电影史 (影印第 3 版)

著 者: (美) 大卫·波德维尔

(美) 克里斯汀·汤普森

选题策划: 后浪出版公司

出版统筹: 吴兴元

编辑统筹: 陈草心

特约编辑: 陈一凡

责任编辑: 王 巍

封面设计: 周伟伟

营销推广: ONEBOOK

装帧制造: 墨白空间

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北京联合出版公司出版

(北京市西城区德外大街 83 号楼 9 层 100088)

北京盛通印刷股份有限公司印刷 新华书店经销

字数 1152 千字 889 × 1194 毫米 1/16 50.5 (单色) + 2 (四色) 印张 插页 2

2016 年 1 月第 1 版 2016 年 1 月第 1 次印刷

ISBN 978-7-5502-6296-6

定价: 138.00 元

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“电影学院”编辑部  
拍电影网（[www.pmovie.com](http://www.pmovie.com)）  
后浪出版公司  
2015年10月

# 出版前言

《世界电影史》是现在世界上使用最为普遍的一本电影教科书，从1994年出版以来已经被翻译为多种语言，并修订出版了三个版本。而且几乎每一个版本的修订都会有相当规模的内容更新，堪称紧跟电影发展脚步。本书的作者大卫·波德维尔与克里斯汀·汤普森是现代美国电影教学体系的奠基人，他们的另外一本著作《电影艺术：形式与风格》目前已经出版至第十版，其理论体系至今仍被美国重点电影学府一直沿用。其权威性可见一斑。

1976年，美国电影学者杰拉尔德·马斯特曾经将电影史分成三类：其一是“艺术史”；其二是他认为在80年代将成为电影史研究的主要方法的“社会史”；其三是“将电影视为一个机器制作的、工业系统的、金融压力下的、集体合作的产品”的“生产史”。不难发现，波德维尔与汤普森的这版《世界电影史》正印证了马斯特所提出的电影史的研究方法，只不过我们在其中能看到的并不是割裂的三种理论，而是将三者融为一炉的多元的理论架构。在谈及自己的学术思路时，波德维尔指出：“电影理论是电影研究的重要组成部份，但对它的思考可以有很多种。我们可以认为它是取材自有关社会、政治、文化或人类心志理论的一套信念，然后再将这套信念应用到电影的特定领域。我们姑且可称其为‘宏大理论’，或可把它叫做一个空降方法。精神分析研究在电影的应用就是一个好的例子。”因此在《世界电影史》中，我们除了能够领略各个时期世界各地的电影发展脉络，同时还能捕捉到围绕在电影周围并深入到电影骨髓中的时代精神以及文化气候。

《世界电影史》第一版的中文译本曾经由北京大学出版社于1994年出版，陈旭光老师和何一薇老师担任翻译，得到读者的广泛肯定。我们这次影印出版的是原版经修订后的第三版，较之前两版拥有更丰富的细节和更强大的资料性。影印版完整还原了原版图书的版式设计、开本大小，保留了索引部分，在目录、前言、章节标题处，我们增加了相应的中文便于读者阅读查询，更好地了解原著风貌。相信能满足需要原文作为资料参考的读者们学习和收藏的需要。

关于本书的目录，参考选用了北京大学出版社2014年出版、范倍老师重译的第二版《世界电影史》译文，在此特别感谢北京大学出版社提供的帮助，感谢范老师同意授权使用他的译文，且在百忙之中给予我们热心的指导与建议，在此奉上我们诚挚的敬意。

## ABOUT THE AUTHORS 关于作者

Kristin Thompson and David Bordwell are married and live in Madison, Wisconsin.

**Kristin Thompson** is an Honorary Fellow in the Department of Communication Arts at the University of Wisconsin—Madison. She holds a master's degree in film from the University of Iowa and a doctorate in film from the University of Wisconsin—Madison. She has published *Eisenstein's Ivan the Terrible* (Princeton University Press, 1981), *Exporting Entertainment: America's Place in World Film Markets, 1901–1934* (British Film Institute, 1985), *Breaking the Glass Armor: Neoformalist Film Analysis* (Princeton University Press, 1988), *Wooster Proposes, Jeeves Disposes; or, Le Mot Juste* (James H. Heinemann, 1992), a study of P. G. Wodehouse, *Storytelling in the New Hollywood: Understanding Classical Narrative Technique* (Harvard University Press, 1999), *Storytelling in Film and Television* (Harvard University Press, 2003), *Herr Lubitsch Goes to Hollywood: German and American Film after World War I* (Amsterdam University Press, 2005), and *The Frodo Franchise: The Lord of the Rings and Modern Hollywood* (University of California Press, 2007). She is also an amateur Egyptologist and since 2001 a member of an expedition to Egypt.

**David Bordwell** is Jacques Ledoux Emeritus Professor of Film Studies in the Department of Communication Arts at the University of Wisconsin—Madison. He also holds a Hildale Professorship in the Humanities. He completed a master's degree and a doctorate in film at the University of Iowa. His books include *The Films of Carl-Theodor Dreyer* (University of California Press, 1981), *Narration in the Fiction Film* (University of Wisconsin Press, 1985), *Ozu and the Poetics of Cinema* (Princeton University Press, 1988), *Making Meaning: Inference and Rhetoric in the Interpretation of Cinema* (Harvard University Press, 1989), *The Cinema of Eisenstein* (Harvard University Press, 1993), *On the History of Film Style* (Harvard University Press, 1997), *Planet Hong Kong: Popular Cinema and the Art of Entertainment* (Harvard University Press, 2000), *Figures Traced in Light: On Cinematic Staging* (University of California Press, 2005), *The Way Hollywood Tells It: Story and Style in Modern Movies* (University of California Press, 2006), and *Poetics of Cinema* (Routledge, 2007).

The authors have previously collaborated on *Film Art: An Introduction* (McGraw-Hill, 8th ed., 2008) and, with Janet Staiger, on *The Classical Hollywood Cinema: Film Style and Mode of Production to 1960* (Columbia University Press, 1985).

For their weblog and other online information, visit [www.davidbordwell.net](http://www.davidbordwell.net).

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# PREFACE TO THE THIRD EDITION

## 第三版序言

Around the world, at any instant, millions of people are watching movies. They watch mainstream entertainment, serious “art films,” documentaries, cartoons, experimental films, educational shorts. They sit in air-conditioned theaters, in village squares, in art museums, in college classrooms, in their homes before a television screen, in coffee shops before a computer monitor. The world’s movie theaters sell 8 billion tickets each year. With the availability of films on video—whether broadcast, fed from cable or satellites or the Internet, or played back from DVD or on cell phones—the audience has multiplied far beyond that.

Nobody needs to be convinced that film has been one of the most influential media of the last hundred years. Not only can you recall your most exciting or tearful moments at the movies, you can also probably remember moments in ordinary life when you tried to be as graceful, as selfless, as tough, or as compassionate as those larger-than-life figures on the screen. The way we dress and cut our hair, the way we talk and act, the things we believe or doubt—all these aspects of our lives are shaped by films. Films also provide us with powerful artistic experiences, insights into diverse cultures, and new ways of thinking.

In this book, we introduce the history of film as it is presently conceived, written, and taught by its most accomplished scholars. *Film History: An Introduction* is not, however, a distillation of everything that is known about film history. Researchers are fond of saying that there is no film *history*, only film *histories*. This partly means that there can be no single survey that puts all known facts into place. The history of avant-garde film doesn’t match neatly up with the history of color technology or the development of the Western or the life of Alfred Hitchcock. For this reason, the enterprise we call “writing film history” is a big tent housing

people who work from various perspectives and with different interests and purposes.

So there’s no Big Story of Film History that will list, describe, and explain everything that took place. We think that writing film history involves asking a series of *questions* and searching for *evidence* in order to answer them in the course of an *argument*. When historians focus on different questions, they select different evidence and formulate different explanations. For example, the historian who wants to know how European cinema developed in the Cold War will not pay much attention to why Marilyn Monroe had career problems near the end of her life. For this reason, historians create not a single, infinitely extended history but a diverse set of specific historical arguments.

### Three Questions

In writing this book we have focused on three key questions.

1. *How have uses of the film medium changed or become normalized over time?* Within “uses of the medium” we include matters of film form: the overall organization of the film. Often this involves telling a story, but a film’s overall form might also be based on an argument or an abstract pattern. “Uses of the medium” also includes matters of film style, the patterned uses of film techniques: mise-en-scene staging, lighting, setting, and costume; camerawork; editing; and sound. In addition, any balanced conception of how the medium has been used must also consider film modes (documentary, avant-garde, animation) and genres (such as Westerns, thrillers, musicals). So, we also examine these phenomena. All such matters are central to most college courses in film history.

A central purpose of *Film History: An Introduction* is to survey the uses of the medium in different times

and places. Sometimes we dwell on the creation of stable norms of form and style, as when we examine how Hollywood standardized certain editing options in the first two decades of filmmaking. At other times, we examine how filmmakers have proposed innovations in form, technique, and genre.

2. *How have the conditions of the film industry—production, distribution, and exhibition—affected the uses of the medium?* Films are made within *modes of production*, habitual ways of organizing the labor and materials involved in creating a movie. Some modes of production are industrial. In these circumstances, companies make films as a business. The classic instance of industrial production is the *studio system*, in which firms are organized in order to make films for large audiences through a fairly detailed division of labor. Another sort of industrial production might be called the *artisanal*, or *one-off*, approach, in which a production company makes one film at a time. Other modes of production are less highly organized, involving small groups or individuals who make films for specific purposes. In any event, the ways in which films are made have had particular effects on the look and sound of the finished products.

So have the ways in which films are distributed and consumed. For example, the major technological innovations associated with the early 1950s—widescreen picture, stereophonic sound, increased use of color—were actually available decades earlier. Each could have been developed before the 1950s, but the U.S. film industry had no pressing need to do so. Theater attendance was so high that spending money on new attractions would not have significantly increased profits. Only when attendance dropped in the late 1940s did producers and exhibitors feel compelled to introduce new technologies to lure audiences back into theaters. Exhibition in turn changed film styles and genres, with new approaches to staging and a trend toward more spectacle.

3. *How have international trends emerged in the uses of the film medium and in the film market?* In this book, we try to balance the consideration of important national contributions with a sense of how international and cross-cultural influences were operating. Many nations' audiences and film industries have been influenced by creators and films migrating across borders. Genres are vagabond as well. The Hollywood Western influenced the Japanese samurai film and the Italian Western, genres that in turn influenced the Hong Kong kung-fu films of the 1970s; Hollywood films then began incorporating elements of the martial arts movie.

Just as important, the film industry itself is significantly transnational. At certain periods, circumstances

closed off countries from the flow of films, but in general there has always been a global film market, and we understand it best by tracing trends across cultures and regions. We have paid particular attention to conditions that allowed people to see films made outside their own country.

Each of these *how* questions accompanies a great many *why* questions. For any part of the processes we focus on, we can ask what conditions caused them to turn out the way they did. Why, for instance, did early Soviet filmmakers undertake their explorations of disturbing, aggressive narrative? Why did Hollywood's studio system begin to fragment in the late 1940s? Why are more films produced now with international investment than in the 1930s or 1940s? Historians are keen to investigate causes and effects, as you will see in this text.

If film history is a generative, self-renewing activity, then we cannot simply offer a condensation of "all previous knowledge." We are, in a sense, casting what we find into a new form. Throughout the twenty years spent researching and writing and rewriting this book, we have come to believe that it offers a unique version of the shape of film history, both its overall contour and its specific detail.

### Answering the Questions: Our Approach

We divide film history into five large periods: early cinema (to about 1919), the late silent era (1919–1929), the development of sound cinema (1926–1945), the period after World War II (1946–1960s), and the contemporary cinema (1960s to the present). These divisions are fairly conventional, and they have the advantage of capturing important developments in the areas that our questions address—form and style, the film industry, and international trends.

But our book differs significantly from most other surveys. For one thing, it is very comprehensive. Some books restrict themselves to the most famous films. This probably made sense in an era when access to films was more restricted. Today, however, people can rent or buy DVDs from all over the world, and our sense of film history has expanded enormously. As the field of film studies has grown, small countries and little-known films are now objects of intense research. A textbook should reflect our new vision of world cinema and introduce readers to great films that have been rediscovered.

For similar reasons, we haven't confined ourselves just to live-action fiction films. Documentary and experimental cinema are important in their own right, as



vehicles for innovations in form and style. In this text, we consider these modes from the earliest efforts to the recent work of Michael Moore, Errol Morris, and Matthew Barney.

### Organization and Distinctive Features

*Film History: An Introduction* is comprehensive in another way. Most textbooks are organized as a chronological string of national cinema chapters. Each major producing country typically gets a single chapter summarizing its accomplishments across many years. Sometimes we also take this tack, usually when a country's contribution to a period is very significant. But a unique feature of our book is the way we try to relate developments in one nation to parallel developments elsewhere.

Why is this important? Cinema began as an international art, and for most of its history, it has functioned that way. Filmmakers in one country are often well aware of what their counterparts elsewhere are doing. And several national film industries are often responding to the same conditions at the same time. For example, during the 1930s, many countries were working to meet the challenge of making sound films. Today, filmmakers face shared problems of global distribution and digital convergence. To trace each country's cinematic history in isolation would miss the common features at work in a particular period.

As a result, most of our chapters compare developments across different national film traditions. Instead of devoting a single chapter to the French cinema of the 1960s, Chapter 20 situates the French New Wave within the emergence of New Waves and Young Cinemas around the world. Similarly, instead of treating major directors of the 1950s and 1960s such as Fellini and Bergman solely as individuals, Chapter 19 explains that they rose to prominence thanks to an international film culture driven by festivals, magazines, and a new idea of the filmmaker as a creative artist. Most chapters of our book use this comparative approach, because it helps answer our general question of how cinema has developed as an international art. By presenting broad patterns rather than isolated facts, the strategy also helps the reader make new connections.

A concern for this broader view informs another unique feature of our book. Filmmaking and the film industry operate within a broad social, economic, and political context. We can't fill in all the details of that context, of course, but most chapters do point out this wider frame of reference. For example, the development of Soviet cinema, in both the silent period (Chapter 6)

and the sound era (Chapters 9 and 18), can't be understood outside the political imperatives at work in the U.S.S.R. Less obviously, the rebuilding of European cinema after World War II owes an enormous amount to the Marshall Plan, a new emphasis on central planning and regional cooperation, and shifts in the world economy (Chapter 17). Our need to situate film history within broader trends is just as pressing in recent eras. What we call the "critical political cinema" of the 1960s (Chapter 23) developed in response to postcolonialism, the rise of a new generation, America's involvement in the Vietnamese civil war, and other wide-ranging conditions. Likewise, economic and cultural factors are at the center of our discussion of globalization (Chapter 29). Our treatment of digital convergence in Chapter 30 considers overarching technological changes in the 1990s and 2000s.

*Film History: An Introduction* relies on another unusual feature. For illustrations, many textbooks are content to use photos that were taken on the set while the film is being shot. These production stills are often posed and give no flavor of what the film actually looks like. Instead, nearly all of our illustrations are taken from the films themselves. Collecting frame enlargements has obliged us to pursue elusive prints in film archives around the world, but the results are worth it, because we are able to study exactly what viewers see on the screen. Thanks to these images, we can enrich our historical argument and focus on a short sequence of images that is typical or innovative, as when we study 1910s techniques of precision staging versus continuity editing (Chapter 3), cutting patterns in Soviet montage cinema (Chapter 6), and typical Neorealist sequences in *Umberto D.* and *Open City* (Chapter 16). These moment-by-moment analyses bring important films alive for readers, who can step through DVDs frame by frame.

Yet another distinctive feature of our text is that it rests on thirty years of our research. Putting aside our two textbooks, we have published twenty books in film studies, many of those books devoted to film history. *Film History: An Introduction* is deeply indebted to the work of many other scholars, but to a considerable extent it reflects the breadth and depth of our original research into silent film, the history of U.S., European, and Asian cinema, and contemporary film trends across the world. We have done research in most of the world's major film archives. We have written books on films and filmmakers from Germany, Russia, Japan, France, Denmark, China, and the United States. One of us has written a book on the historiography of film. *Film History: An Introduction* is the fruit of many

decades of watching films, studying them, and thinking about their relations to other arts, to culture, and to the larger world.

### Changes in the New Edition

As film history develops, we not only confront new films and filmmakers, but we often reconsider the past. In most chapters, we have corrected errors and added material reflecting recent research, but the major revisions in this third edition reflect our rethinking of post-1970 film history. Most of the changes introduce fresh information and ideas. For example, Chapter 24 on documentary and experimental film now includes discussion of the uptick in theatrical documentary led by Michael Moore and the tendency of experimental filmmakers to gravitate toward installations and gallery art. The sections on Eastern Europe and Russia in Chapter 25 now trace how these regions have become privatized film industries.

The biggest changes have been made to the last six chapters. These changes reflect the fact that cinema continues to grow as a worldwide medium. Although American movies are the best known, other countries are becoming global players. The most obvious emerging industries are in India and China, but other countries are also finding their voices. As a result, what we covered in a single chapter in our last edition (“Beyond the Industrialized West,” formerly Chapter 26) is now treated in two chapters. The first, “A Developing World: Continental and Subcontinental Cinemas since 1970” (new Chapter 26), surveys Africa, the Middle East, South America, and India. We give more space to cinema in Nigeria (the now-famous “Nollywood”), the alliances among Arab countries, and of course India, which is daily becoming more important economically and artistically—not only through Bollywood but also through the nation’s many regional capitals.

Chapter 27, “Cinema Rising: Pacific Asia and Oceania since 1970,” shifts to another epicenter of change. Our earlier material on local industries has been updated, and we have added a new sidebar on the importance of the Sony Corporation. The biggest revisions come, however, in our treatment of mainland China. Like Russia and India, China has an exploding film industry. The power shift in commercial Asian filmmaking from Japan (up to the 1980s) to Hong Kong (1980s–1990s) to mainland China in the 2000s is a fascinating story, and one that our survey of world cinema needs to tell.

Where does American cinema fit into all this? Part Six, “Cinema in the Age of Electronic Media,” opens with a consideration of this problem. Chapter 28 discusses how Hollywood adjusted to new forms

of entertainment—notably cable television and home video. The counterbalance, and the most extensively revised portion of the chapter, is an expanded treatment of independent U.S. cinema. We include a new chronology of independent film, a discussion of how Hollywood studios have infiltrated the indies, and a discussion of the current trend toward do-it-yourself cinema, particularly the Mumblecore movement.

The book ends with two wide-ranging surveys of the contemporary film landscape. Chapter 29, “Toward a Global Film Culture,” updates our earlier edition’s chapter on globalization, offering fresh information and ideas about Hollywood’s domination, regional responses to it, cinemas of the diaspora, film festivals, piracy, and fan subcultures. All of these are treated as aspects of globalization, tying developments in film to wider economic and cultural patterns.

The final chapter, “Digital Technology and the Cinema,” is wholly new to this edition. How, we ask, has the digital revolution affected filmmaking? How have they changed production, distribution, and exhibition? Our answers move across many current developments, including 3-D animation, 3-D live action, digital exhibition, and the use of the Web for publicity and distribution. The focus is on Hollywood, the economic engine behind CGI and other digital developments, but we also consider the contributions of independent filmmakers and filmmakers in other countries. Young people will recognize their media landscape, from YouTube to Second Life, in the story we tell here.

But that story isn’t over, and it can be retold in many ways. We hope that teachers and students go beyond what the book offers and explore film history on their own. To this end, we offer many supplements that try to tease you into byways we couldn’t pursue in an already wide-ranging text.

First, we have prepared a broad background essay, “Doing Film History,” which is available online at [www.davidbordwell.net](http://www.davidbordwell.net). A version of this served as an introductory chapter in earlier editions of this book, and in order to expand the essay’s availability, we have moved it online. In addition, many of the bonus materials that appeared in earlier editions have migrated to McGraw-Hill’s website for this book, [www.mhhe.com/thompson3e](http://www.mhhe.com/thompson3e). There you will find bibliographies keyed to each chapter, as well as a bibliography for more general topics. Just as important are the Notes and Queries sections we had appended to chapters in the first two editions. Now they and new ones, are at [www.mhhe.com/thompson3e](http://www.mhhe.com/thompson3e). online, and we urge both teachers and students to consult them. The

Notes and Queries discuss general issues of historical research as well as topics we find intriguing. (How did Japanese anime become so popular in the U.S.? Why do some Italian critics think that Neorealism never existed?) The advantage of moving the Notes and Queries online is that we can update them and add others as the need arises. Finally, we invite everyone to visit our blog, “Observations on film art and *Film Art*,” at [www.davidbordwell.net/blog](http://www.davidbordwell.net/blog), which often considers historical topics relevant to the questions, evidence, and explanations we present in this book.

### Acknowledgments

One thing has remained constant from earlier editions: our gratitude to other scholars. Their research helped us to rethink the history of the artform we love, and we look forward to learning more from them. Specifically, many individuals have helped us on this project.

First among equals are the archivists. We thank Elaine Burrows, Jackie Morris, Julie Rigg, and the staff of the National Film and Television Archive of the British Film Institute; Paul Spehr, Kathy Loughney, Patrick Loughney, Cooper Graham, and the staff of the Motion Picture, Television, and Recorded Sound Division of the Library of Congress; Enno Patalas, Jan Christopher-Horak, Stefan Drössler, Klaus Volkmer, Gerhardt Ullmann, and the staff of the München Filmmuseum; Mark-Paul Meyer, Eric de Kuyper, and the staff of the Nederlands Filmmuseum; Eileen Bowser, Charles Silver, Mary Corliss, and the staff of the Film Study Center of the Museum of Modern Art; Ib Monty, Marguerite Engberg, Dan Nissen, Thomas Christensen, and the staff of the Danish Film Museum; Vincent Pinel and the staff of the Cinémathèque Française of Paris; Michael Pogorzelski and Joe Lindner of the Archive of the Academy of Motion Picture Arts and Sciences; Shawn Belston, Vice President for Asset Management at 20th Century Fox; Robert Rosen, Eddie Richmond, and the staff of the UCLA Film Archive; Bruce Jenkins and Mike Maggiore, then of the Walker Art Center Film Department; Robert A. Haller, Carol Pipolo, and the staff of Anthology Film Archives; and Edith Kramer and the staff of the Pacific Film Archive. We owe special thanks to Jan-Christopher Horak and Paolo Cherchai Usai, who, during their curatorships of the Motion Picture Division of George Eastman House, assisted our work beyond the call of duty.

This book would not have been possible without the generosity of the late Jacques Ledoux and his successor Gabrielle Claes. Along with their staff at the

Cinémathèque Royale de Belgique, they kindly supported our work in innumerable ways.

For all three editions of *Film History: An Introduction*, we have been lucky to find a great many people who have shared information, provided us access to films, and offered critical suggestions: Muriel Andrin, Jacques Aumont, John Belton, Edward Branigan, Carlos Bustamente, Mary Carbine, Jerry Carlson, Chen Mei, Robert Chen, Thomas Christensen, David Desser, Michael Drozewski, Chaz Ebert, Roger Ebert, Alan Franey, Michael Friend, André Gaudreault, Tom Gunning, Kevin Heffernan, Richard Hinch, Kyoko Hirano, Ivy Ho, Donald Kiriara, Hiroshi Komatsu, Albert Lee, Li Cheuk-to, Richard Maltby, Albert Moran, Charles Musser, Dominique Nasta, Dan Nissen, Peter Parshall, William Paul, Tom Paulus, Richard Peña, Mark Peranson, Neil Rattigan, Tony Rayns, Donald Richie, David Rodowick, Phil Rosen, Barbara Scharres, Brad Schauer, Alex Sesonkske, Shu Kei, Scott Simmon, Alissa Simon, Laurie Stark, Cecille Starr, Stephen Teo, Peter Tsi, Yuri Tsvian, Athena Tsui, Casper Tybjerg, Alan Upchurch, Ruth Vasey, Noel Vera, Diane Verma, Kewal Verma, Marc Vernet, Chuck Wolfe, Wong Ailing, Jacob Wong, Yeh Yueh-yu, and PoChu Au Yeung. For assistance with illustrations for this edition, we are particularly grateful to Michael Barker of Sony Pictures Classics and James Schamus of Focus Films, as well as Sharon Lockhart and Anthony McCall.

Our coverage of silent cinema was enhanced by the annual “Giornate del cinema muto” events at Pordenone, Italy. These gatherings have revolutionized the study of silent cinema, and we are grateful to Davide Turconi, Lorenzo Codelli, Paolo Cherchi Usai, David Robinson, and their associates for inviting us to participate in them. In similar fashion, “Il cinema ritrovato” in Bologna has expanded our knowledge of film history, and we thank Gian Luca Farinelli, Guy Borlée, Peter von Bagh, and Patrizia Mighetti for inviting us to this annual gathering.

We are also grateful to our readers in the discipline, who provided helpful criticism and suggestions: Jonathan Buchsbaum, Queens College; Jeremy Butler, University of Alabama; Diane Carson, St. Louis Community College; Thomas D. Cooke, University of Missouri; David A. Daly, Southwest Missouri State University; Peter Haggart, University of Idaho; Brian Henderson, State University of New York at Buffalo; Scott L. Jensen, Weber State College; Kathryn Kalinak, Rhode Island College; Jay B. Korinek, Henry Ford Community College; Sue Lawrence, Marist College; Karen B. Mann,

Western Illinois University; Charles R. Myers, Humboldt State University; John W. Ravage, University of Wyoming; Jere Real, Lynchburg College; Lucille Rhodes, Long Island University; H. Wayne Schuth, University of North Orleans; J. P. Telotte, Georgia Tech University; Charles C. Werberig, Rochester Institute of Technology; and Ken White, Diablo Valley College.

Additional suggestions and corrections for the third edition came from several of the above, as well as Geneviève van Cauwenberg, Université de Liège; Neil Rattigan, The University of New England; Scott Simmon, University of California–Davis; Cecile Starr; and Tom Stempel, Los Angeles City College; and Noel Vera.

Most recently, several other faculty reviewed the third edition and provided valuable advice: Peter Flynn, Emerson College; Scott Higgins, Wesleyan University; Eileen Jones, Chapman University; Myoungsook Park, University of Iowa; Ellen Seiter, University of Southern California, Los Angeles; and Randolph Rutsky, San Francisco State University.

At the University of Wisconsin–Madison, we are grateful to the Department of Communication Arts, the Graduate School, the Wisconsin Center for Film and Theater Research, and the Institute for Research in the Humanities for three decades of encouragement. Closest to us are friends who have lightened our burden: Tino Balio, Sally Banes, Beres, Ben Brewster, Noël Carroll, Kelley Conway, Don Crafton, Maxine Fleckner Ducey, Mary Ann Fitzpatrick, Sabine Gross, Erik Gunneson, Dorinda Hartman, Meg Hamel, Lea Jacobs, Vance Kepley, Michael King, Jared Lewis, J. J. Murphy, Paddy Rourke, Andy Schlachtenhaufen, Marc Silberman, Ben Singer, Jeff Smith, and Sue Zaeske. Our intellectual debts to these colleagues are deepened by our admiration and affection.

*Kristin Thompson  
David Bordwell  
Madison, Wisconsin  
August 2008*

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