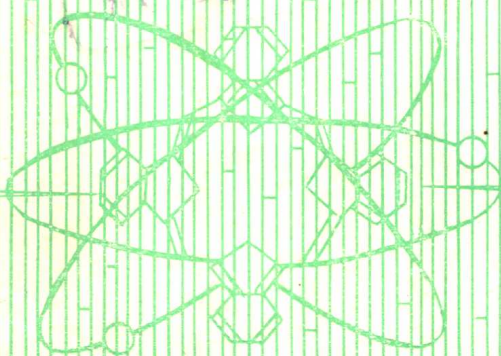


厦門大學

研究生硕士学位论文摘要

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資料部



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《论鲁迅讽刺艺术的张力》

指导教师：应锦襄副教授 研究生：朱二

(中文系)

鲁迅身上存在着社会批判和审美艺术表现的双重要求。它和“讽刺”概念的某种张力结构——十分突出的批判—审美双重性的契合，是鲁迅选择“讽刺”作为毕业战斗武器的一个深刻原因。在此背景下，鲁迅的讽刺艺术保持了若干必要的张力：

(一)“情”和“理”的张力。遵循喜剧艺术特殊规律，鲁迅高度重视讽刺中的思想因素，并努力提高“理”的素质，使之符合先进的社会理性。同时，出于伟大艺术家的真知灼见，鲁迅也不忽略讽刺作品的感情性，因此扬弃了某些理论家重“理”轻“情”的倾向，贯注丰富感情于讽刺作品中，因而能达到以理服人又以情动人的目的。具体讲，在审美主体对客体的关系上，表现为“介入”和“超然”的张力。作者能入能出，既充满感情，“共同忏悔”，又富有理智，高人一筹地扶剔社会丑态。在作为作品美感因素构成成分的“情”和“理”的关系上，张力表现为二者的相互结合。结合的形态有①交迭式：情和理同时并存，交叉出现，相互制约，交互作用。②包裹式：情包裹着理、或者理包裹着情。有时作家内心翻滚着感情的波涛，外表却似平静，冷静地描绘着客观现实，娓娓述说着人生哲理；有时表面呈现为强烈感情的迸发，而严肃的内容、深刻的哲理却包裹在色彩浓烈的外表里。③情绪作用式：除了较为稳定的情感外，不同层次的感情因素——情绪也发挥了巨大作用，这是鲁迅讽刺艺术感情表达的一大特点。情绪触发的讽刺具有快速、生动、真切的优点，但由于情绪的激动性和情景性，较容易出现“偏激”，似乎违背了局部的“理”，但它根本上服从了大的整体的“理”，因而得到鲁迅的认可和推崇。这时张力以一种较为特殊的关系表现出来。

(二)“平”和“奇”的张力。鲁迅反复强调讽刺应以“平常”事物为对象，但喜剧艺术最忌平淡。为了解决这一矛盾，鲁迅在坚持讽刺的社会现实性，真实性和普遍反省意义等基本原则的前提下，努力追求“奇特”的艺术表现。相应于“平常”所具有的社会性，他采取“个别化方式，注重“切己”，相应于“平常”所具有的“常见性”，他有意地在艺术环境中形成稀有罕见或出人意料之物、事，因此能以“平常”中见“奇特”，为讽刺艺术增添了熠熠光彩。常用的具体手法有“特别一提（从人们熟视无睹，见惯不惊的现象中发现丑恶和荒谬，有意地加以辑录甚而集中、点拨、揭“烂疮

疤”等以引起警觉)、夸张和怪诞(却靠艺术变形创造稀有罕见、与众不同的形象、意境以形成“奇特”)、突转(相异因素的突然联接、突然插入、突然转化等,它靠逆转传统既定的语意和思维程序、令读者的因袭反应遭受阻碍,以而产生“出乎意料”的感觉而形成“奇特”)。“平常”而不失之平庸、平淡,“奇特”而不脱离现实、违背真实、随入奇诡、怪诞、这是鲁迅讽刺艺术给我们的整体印象。

(三)“杂”和“一”的张力。鲁迅发扬光大了讽刺艺术的繁杂特色,它表现在对象涉及面、取材范围、体裁、风格的广泛、丰富、多样和作者有意识的“拉扯牵连”。善于“拉扯牵连”(即善搭、善纵、善击)能使“不类为类”,不同因素组合成有机整体产生新质,超过部分之和;能引导读者的“统觉”形成方向,即唤起读者原有的经验知识,使之与当前事物所引起的意象相融合而获得更深刻、全面的认识。此外还能使作品充满一种不断对困境加以反击和战胜的顽强、跳跃的“生命”感。利用比喻中的喻体、论证中的论据进行讽刺是一种十分别致、运用极广的手法。喻体和论据既有说明本体和论点的作用,又往往“喧宾夺主”,本身具有更强热的讽刺意义。但繁杂不是拉沓、杂乱,因此还需求“集中”、“精练”、“略见一致”。目标明确性(以排击有害旧物为总目标)、鲜明尖锐性(无所假借的撕破)、社会现实性以及内在逻辑性是统一鲁迅讽刺作品的明显标识;而追求广泛和集中的统一、讲究传神、力求在最小的面积里包含最丰富的意蕴也是“杂”中求“一”、“一”中求“杂”的表现。鲁迅并不罗列对象的弱点一一加以抨击,而是紧紧抓住要害的一,两点,但他也不拘囿于一点、而是围绕这一点,广泛拉扯牵连,增重份量,向深处打入。许多细节描写不仅横向地反映了性格的多侧面,而且富有纵向的包孕性。因此具有丰富的内蕴。“杂”是鲁迅思想和艺术丰富性的表现,它来作者丰富的知识、宽阔的视野和永无正息的要对旧物判他一判的愿望。“一”是鲁迅目标明确、思维清晰、艺术精湛的表现。“杂”和“一”在鲁迅身上得到奇妙的统一。

(四)“谐”与“庄”的张力。鲁迅把握讽刺“关”的艺术特质,在进行社会批判时,努力运用反语、模拟嘲讽、升降格笔调等多种修辞手法和幽默、机智、滑稽等喜剧艺术手段增添“关”的光彩,使讽刺有别于谩骂。其中,反语具有“假褒实贬”、“假戏真唱”、“自我贬损”、“天真无邪”等形式,而自嘲是幽默的讽刺的重要组成部分。另一方面,鲁迅也注意“关”的相反方面——严肃。为了避免堕入油滑,鲁迅论重于挖掘讽刺对象的内在喜剧性,常用手法有反讽,对比等。它既能引人发笑,对于丑恶事物又是击中要害的打击,“谐”与“庄”在此获得直接的统一。同时,作者还大量融入悲剧因素,为悲切的民族忧患感、悲沉的社会重压感,悲悯的对民众同情感、悲壮的崇高感等,使“喜”和“悲”得到结合,避免流于轻佻。鲁迅对讽刺深刻性的不懈追求表

现在善于透过现象挖掘讽刺对象的多级本质，善于将历史作为一面明镜透视底蕴，挖出可笑事物的历史根源，善于探究人的心灵状态。而在这三者的融汇点上，是鲁迅对所谓“国民性”弱点的研究和讽刺。这无疑使鲁迅讽刺加强了艺术批判力量并获得独特个性。

善于保持必要的张力是鲁迅现实主义文艺观和创作思想辩证法的体现，又是鲁迅思想和艺术成熟的表现。它表明鲁迅能超越矛盾，登上更为完善的阶梯。它有助于鲁迅讽刺的批判性和艺术性双臻佳绝，圆满地完成革命家和文学家的双重使命。

围绕上述线索，在行文过程中对一些艺术特征、艺术手法较为细致地进行分析，展开论述，这是本文的又一重心。

南城方言与中古音系

指导教师：余心乐教授，邓志瑗教授

研究生：邱尚仁

(中文系)

提 要

专业：汉语史

导师：余心乐 邓志瑗

作者：邱尚仁

年级：八三级

本文较为详细地从调声韵三方面论述了南城方言与中古音系(即《广韵》音系)的对应关系，并对南城语音的变化情况从音理上作了一定分析。全文五章：

第一章绪论，简要介绍南城县的地理位置，人文环境和千五百年来纷繁复杂的分合之势，阐明本专题研究的价值和意义；找出南城方言和中古音系的对应关系，为语言发展规律的探讨和研究，促进现代汉语规范化工作做一些添砖加瓦的奉献。

第二章声调、第三章声母、第四章韵母，为文章的主干，全面论述南城方言六调二十声母五十七韵母与中古音系之间的对应关系和自身的发展变化，以大量实例说明语音分化的特有规律和不平衡性。

第五章结论，在前三章的基础上抽象概括，使人对南城方言的语音特点一目了然：

声调方面

1. 平上去入四大类与中古音系一致，而阴阳有别：平声分阴阳，同中古清浊基本对应，去入不分阴阳。第四调阳上，包括中古浊声纽大部分，第一调阴平，也包含中古少量全浊上声和去声字。

2. 阴阳调一般以古纽清浊分化，阴调为古清纽、阳调为古浊纽，与汉语调类历史发展脉络基本一致。

声母方面

1. 全浊声母已完全消失，中古全浊塞音塞擦音在南城话中不论平仄一律送气，擦音则相应清化，读音均如次清声母。次浊声母基本保留。

2. 南城方言不分尖团，中古见组大部、精组全部在细音韵母前合流为舌面音

[tʰ]、[tʰʹ]、[ʰ]。另外，南城方言的一大特点是[tʰs]组声母中无送气塞擦音[tʰsʹ]，因此南城精组清从二组细音前除读[tʰʹ]外，其止撮开口三等韵字归入精组读不送气音[tʰs]；其一等字则不论开合均读[tʰʹ]。庄组初崇两母亦类似。见组（见溪群）三四等还有部分成舌尖塞音[t]、[tʹ]。

3. [h]母不与[u]或以[u]为韵头的合口韵母相拼合，中古喉音晓匣合口绝大部分变读唇齿清擦音[f]，只有部分开口字读为[h]。

4. 南城方言泥来二母泾渭分明，丝毫不乱，在开合韵前分别读[n]、[l]，在齐撮韵前则泥读[nl]、来读[t]（中古三四等）和[l]（中古一等）来母读[l]或读[t]完全以中古等分。

5. 南城方言没有舌尖后音，在现代大部分北方方言区读[tʰs]、[tʰsʹ]、[s]的中古知系（知、庄、章等组）在南城话中部分与端系（端、精组）合流，部分与见系（见、晓组）合流：

（1）知组三等细音和章组的大部分字与精。晓组三等细音合流，读[tʰʹ]、[tʰʹʹ]、[ʰ]，另一部分则与端组洪音合流读为[t]、[tʹ]；

（2）庄组与精组洪音合流，部分读为舌尖前音[tʰs]、[s]（庄崇生与精心），部分并入端组舌尖中送气音[tʰ]（初与清从）。

6. 端组（端透定）自中古到现代发展较为稳定，在南城方言中情况也相同，基本读为舌尖塞音[t]、[tʹ]，但透定二组开口一等字部分读为喉擦音[h]。

7. 舌尖塞音[t]、[tʹ]所含中古声纽十分丰富，包括端（端、精二组）、知（知、章、庄三组）、见（见组）三系六组的声母，在其他方言中不常见。

8. 中古晓匣云三纽的三、四等在南城方言中有一部分读为舌尖擦音[s]；另外，南城方言保留了唇齿轻浊擦音[v]，其他方言也较少见。

韵母方面

1. 南城方言四呼齐全。与中古音系比较，今开口韵的情况较为复杂，不少古合口韵字今南城话读为开口，但今合口韵一般都是古合口。今齐齿韵大多为上古带[i]韵头或以[i]为主要元音的韵母，今撮口则基本由上古带[i]韵头的合口三等韵转化而来。

2. 中古韵母按洪细分为四等，南城方言多已混淆，但也有部分韵母与中古音系的等列有较单纯的对应关系。如：

[on]母全为咸山（覃、寒桓）两摄一等；

[ɸi]、[ɛi]两母多蟹摄（灰哈泰）一等；

[uo]母全为果摄（戈）合口一等；

[uin]母全为臻摄(魂)合口一等;
 [uo²]母全为宕摄(铎)一等;
 [ui²]母全为臻摄(没)合口一等;
 [ua]母全为假摄(麻)合口二等;
 [ua⁷]母全为梗摄(耕庚)二等;
 [ou]、[au]两母中效摄(豪肴)一二等对垒分明;
 [i]、[ɤ]两母基本为中古三等;
 齐、撮呼韵母基本为中古三等。

其余则无法分辨,尤其是[a⁷]、[ai²]、[ɤi²]三母,中古一二三四等都有。

3. 南城方言保留了中古所有含鼻音韵尾的韵母,但中古[-m](咸深二摄)、[-n](山臻二摄)、[ŋ](宕江曾梗通五摄)三种鼻音韵尾在南城方言中发生了分化,并非为古今一对一的关系。可归纳为两点:

(1) 舌尾相并

同是舌鼻音的归并。中古舌根鼻音部分并入舌尖鼻音。如曾、梗二摄部分并入臻摄,读为[ɛn]、[in]、[yn]。南城方言中不存在以[ɛ]、[i]、[y]为主要元音的舌根后鼻尾韵母。

(2) 变尾相并

唇鼻音和舌鼻音的归并。中古唇鼻音[m]全部并入舌尖鼻音[n]。如咸摄部分并入山摄,读[an]、[on]、[ian],部分并入臻摄,读[ɤn];深摄则一律并入臻摄,读[ɤn]、[in],因此中古[m]尾在南城方言中完全消失。

南城方言与中古音系含鼻韵尾的音节在外延上保持一致,无古今鼻尾韵和口韵之间的转化现象。特殊音节[ŋ](如“吴[ɔŋ]《疑母模韵合口一等》”)应看作声母异样强化致使韵母完全脱落。

4. 中古入声韵在南城方言中十分完整地保留下来,一律读为促调,但中古的塞音韵尾[-p]、[-t]、[-k]全部合流为喉塞韵尾[ʔ]。

5. 南城方言中[uin]韵母在其它方言中十分罕见,是一个独特的韵母,所含全部为中古臻摄(魂)合口一等见溪两母字。

6. 中古流摄侯韵一等字在南城方言中全部出现了[i]韵头,而读为[iou],这在其他方言中也是不常见的。

文章“结束语”中把南城方言与临川音系略作比较,指出临川音系三个特点即(1)保持闭口韵尾(2)来母三四等声母变成[t](3)章昌二纽变同端透,除第一点外,其余两点临川南城殊联璧合,而在其他很多方面又大相径庭。认为如果能对南城方言进行深入探索,并从人口迁徙角度参以闽方言,则无论是对中古音系还是现代汉语方言的研究,临川、南城方言必能收到互为表里、相得益彰之功效。

文章附有声韵母表、调类表、同音字表、古今字音对照表等十种表格。全文共八万余字。

THE GRAPES OF WRATH: THEMATIC DIMENSIONS AND SOME CONTROVERSIAL ISSUES

Tutor: Professor Lin Yi-jin Postgraduate: Guo Yong-sui

John Steinbeck's best novel, *The Grapes of Wrath*, published during the Depression years, was translated and introduced to the Chinese readers as early as the 1940s by Hu Zhong-chi, and has recently been reprinted with a new introduction by Dong Heng-xun, a noted specialist on American literature.

In this novel, through the adventures of the Joad family, Steinbeck portrays the life of thousands of dispossessed farmers from the states of Kansas, Oklahoma, Texas, New Mexico, Nevada, and Arkansas, and shows us their dream, their search for the "Promised Land" in the west, and their bitter disillusionment.

Ever since the earliest settlers' search for the "Promised Land" in the continent, America has created an image of boundless opportunities for all kinds of people. It is commonly believed that any American who possesses the proper virtues of industry, frugality, and diligence, and who pursues his goal with sufficient effort, can raise himself from poverty to wealth.

In *The Grapes of Wrath*, the Joads, though driven from their land, are not totally in despair, because they have the dream to sustain themselves. When they lose their chance in Oklahoma, there is always the west where they can go, where they think they can make a new start. The dream bolsters up their spirit along the journey when they have good reasons to despair. Only when they reach California do they realize that their dream is but a pathetic illusion. In their disillusionment from the dream, the Joads learn that individual is inadequate in confronting the exploitation of the organized economic power, and there arises a growing sense that some kind of commu-

nal effort is necessary to combat the system.

Through the Joads' quest for the "Promised Land" in California, Steinbeck dramatizes the bankruptcy of the old American dream of finding opportunity and fulfilment by going west. Frontier is closed, he tells us, and the "Promised Land" no longer exists. The American dream that lowly people like the Joads can acquire their share of the plentiful land through strong desire and individual effort is only an illusion.

At bottom the migrants' dream, an Steinbeck suggests, is the yearning for a small piece of land of their own, where they can be securely settled. For them, the land stands for security, identity and a way of life. Now this pastorally simple way of life is threatened by natural calamities, the tractors, and, above all, the combination of the big farm owners and the financial establishments, which is breaking down the intimate relationship between man and nature.

Steinbeck's agrarian views are fully expressed in the novel, in which he looks nostalgically to the stable, peaceful life of the farmers before the tractors come, deploring the disintegration of the peaceful horse and plow way of farming by mechanized farming, which he regards as inhuman and unnatural.

In the conflict between the traditional agrarian way of life and the modern, industrialized and commercialized agriculture, Steinbeck favors the former, which he regards as a guarantee of democracy and humanity against the inhumanity of commercialism. That is the humanistic side of Steinbeck's agrarianism.

However, in his partiality for the idyllic rural life, he seems to go too far. His sympathy for the dispossessed turns into animus towards machinery, which he regards as one of the causes of the migrants' sufferings. He even looks backward to seek remedies in the 18th century Jeffersonian agrarianism, i. e. a country made up of small farmers owning small pieces of land, and favors the horse and plow way of farming.

Besides the traditional American motif of the American dream and the agrarian ideal, we also see in *The Grapes of Wrath* another motif—the contemporary motif. This motif, as R. W. B. Lewis points out, "...springs from

the tragic awareness...of the fateful division between man and man." the cause of this "division between man and man", Steinbeck indicates, is the commercialism and materialism of the capitalist society, which he criticizes ruthlessly in the novel.

Private property is the chief criminal of this sick business society. It deprives people of their human nature, causing alienation and estrangement not only between man and man, but also between man and his products.

The alienation of the worker from his products, as Karl Marx puts it, is the result of the alienated labor, in which the worker "does not fulfill himself in his work, but denies himself, has a feeling of misery rather than well-being, does not develop freely his mental and physical energies but is physically exhausted and mentally debased". The tractor driver in the novel is such a case. For three dollars a day, he has sold the day's life to his employer. He finds no pleasure in his work. He is "paid for being less than a man."

The relationship between property and the owner man, between the propertied class and the economic institutions, is another case of alienation. Men make the bank, but the bank, conversely, controls men. Profit is an inhuman, lifeless thing, yet it governs human beings. "It is independent, and has individuality, while the living person is dependent and has no individuality."

Sick and ill as this society is, however, Steinbeck suggests, it is something remediable. This "unpanicky scrutiny of life" comes from his belief in mankind, in the courage and endurance of people like the Joads, and in man's essential dignity of spirit and his unexhausted possibility for modification and improvement.

For the simple, ordinary people, Steinbeck has a deep feeling. In *The Grapes of Wrath*, he shows a great sympathy toward the dispossessed, the children of the earth who can hardly raise themselves a few feet from its surface. He tells us that the migrants are self respecting people of old American stock who are originally decent farmers driven by natural and social forces beyond their control to a desperate state. It is the responsibility of the so-

ciety to help them out of the miserable condition. He also suggests that all life, even the inferior, has a right to live a full life.

Like Emerson, Steinbeck believes that there exists between the individual and the whole universe a harmonious relationship, that by his participation in, and his devotion to the whole, the individual can realize himself. This belief, along with his belief in "man's proven capacity for greatness of heart and spirit," is the base of his concept of an ideal society, which is incarnated in the government camp in the novel. The best society, he shows us, is the society which is governed by the will of the majority. In this society, everybody is the master. He can exercise his right in the forming of the government and in the making of the law. At the same time, he has to obey the law, which is the will of the majority. He has both the right to enjoy his privileges and the obligation to contribute to the society.

Ever since its publication, *The Grapes of Wrath* has been a novel of controversy. The disputes concerning the novel's technique generally involve three issues: the characterization, the interchapters, and the ending.

The critical opinions concerning the novel's characterization are extremely divided. Those who find fault with it generally accuse Steinbeck of three defects. The first is that the characters presented in the novel are unreal. The second defect they point out is the simplicity of characterization. Finally, they complain, Steinbeck's characters are collective instead of individual.

Other critics, however, find that "all the characters are drawn as fully credible human beings, individual yet also representative of their social class and circumstances." As to the accusation that Steinbeck's characters are collective instead of individual, they answer, "Steinbeck was not writing a novel of personal adventure and misfortune. His theme is the entire social condition of which his characters are a part... Thus their role is collective."

It seems to me that the major problems of the novel's characterization lie not in that the characters are collective instead of individual, for what Steinbeck wants to present is not individual adventure but rather a representative of a social phenomenon. Neither do the problems lie in that the novel seldom explores the inner world, because *The Grapes of Wrath* deals mainly

with sociological theme. What the author concerns is events instead of state of mind, is external world instead of inner world. The problems appear to lie that many of the characters are rather stogy and unreal. The speeches of the major characters sound stogy, pompous, and unnatural, and nearly all the speeches and actions of the characters are designed to display in an implausible way the author's theory about them. I incline to McCarthy Paul's conclusion, "The ideas are powerfully advanced, but the figures are vague."

Like that of the characterization, the critical opinions about the novel's interchapters show great divergency. Some people think they have function in universalizing the Joads' experience. "They offer a broader prospect of the time, and show what was happening all over America to cause the Joads and their kind to be in this predicament." Others say that the use of the interchapters show Steinbeck's inability to weave the social background organically into the body of the story.

I am inclined to agree that the interchapters transcend the plights of the Joad family into larger forms and amplify the Joads' typical actions to the level of communal experience. What I feel rather uncomfortable about is the didactic part in the interchapters. For the most part in these interchapters, the author explains everything and makes moral judgments for the readers, leaving no room for the reader's imagination. That is, I think, why some critics call them "wretched violations of aesthetic taste."

Dispute on the ending of the novel generally involve two questions. First, is it a good ending? Second, how to interpret it? Those who disapprove call it "a sensational, shocking and therefore, commercial substitute for an artistic solution", "symbolism gone sentimental", "theatrical and inconclusive"; whereas the defenders praise it for being "natural and harmonious", "logically and fittingly" concludes the novel.

As to the interpretation, there are two different kinds of opinions. Not a few people hold that the novel ends on an optimistic note, because, they say, Rose of Sharon's nursing an old man during a thunderstorm is a sign of the indestructible life force of the people, a symbol of resurrection, a promise of future revival. Other critics, however, are not satisfied with the in-

terpretation. The rain, they argue, is not a gentle spring rain, but a heavy downpour, which may be one more tribulation upon the Joads, and the Joads will have "no kinda work for three months." Therefore, they think, the novel ends on a note of pessimism.

In my opinion, though the situation of the Joads is quite hopeless, it may be temporary. As long as people unite and fight, there will come the day when things are better for the people, Tom's leaving the family to fight for the cause, and Rose of Sharon's nursing a stranger seem to suggest that people are beginning to take steps. Besides that, it seems to me, the ending also suggests that both love and violence are necessary to bring about a better society. Tom's way is a way of violence and rebellion, and Rose of Sharon's way is a way of love and brotherhood.

Theoretically and symbolically, the ending is sound in realizing the novels's theme. But it may not be so realistically, for the image of a young woman nursing a stranger is a stereotyped symbolism of love and brotherhood. That may be the reason why the ending is considered a "commercial substitute for an artistic solution".

The story of *The Grapes of Wrath* is not just a story of the Okies' search for opportunity in California, of their perpetual pursuit of an elusive dream, or of their conversion from familial loyalty to a wider concern. It is rather the endless story of the striving of a life force to endure and triumph in face of constant adversity. It is not just a timely book about a troublesome past era, but, is universally applicable wherever prejudices and a sense of self esteem inhibit human cooperation. Steinbeck's love of nature, his view of the world as a unified cosmos, his deep feeling for simple people, and his criticism of the middle class values are richly connected with the American literary tradition that goes back to Emerson, Thoreau, Whitman, and Mark Twain.

Steinbeck is mainly an affirmative writer. He depicts human existence as conflict, unrelenting and often savage battle, but he also suggests that life is worth living after all. In *The Grapes of Wrath*, he expresses his basic faith in mankind, in the courage, the endurance, and the kindness of the people. His