

人文社
科经典名著选读

Selections from Classics of Western Theories of Literature and Art 西方文论经典名著选读

章安祺 选编 / 导读




the right leaves him with but
others but unchangeable
leaves him otherwise unchangeable
as the old restoration is
and the dwelling remains
remaining elements and the
escaping them to the last thing
even and otherwise perhaps the
of living blue and permanent
color?

and the soft through the air
the first forms quickly ripen and
grow. From the blue stage of
one to the red and white and for
that fabricator and structure
is to inform with unceasing
twice he has to accept the change

replenish
and with

3

 中国人民大学出版社



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图书在版编目 (CIP) 数据

西方文论经典名著选读/章安祺选编/导读.

北京: 中国人民大学出版社

(人文社科经典名著选读)

ISBN 7-300-04707-6

I. 西…

II. 章…

III. 英语-语言读物, 文学

IV. H319. 4: I

中国版本图书馆 CIP 数据核字 (2003) 第 043728 号

人文社科经典名著选读

Selections from Classics of Western Theories of Literature and Art

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出版发行 中国人民大学出版社

社 址 北京中关村大街 31 号 **邮政编码** 100080

电 话 010-62511242 (总编室) 010-62511239 (出版部)

010-82501766 (邮购部) 010-62514148 (门市部)

010-62515195 (发行公司) 010-62515275 (盗版举报)

网 址 <http://www.crup.com.cn>

<http://www.ttrnet.com>(人大教研网)

经 销 新华书店

印 刷 北京东方圣雅印刷有限公司

开 本 787×1092 毫米 1/16

版 次 2005 年 2 月第 1 版

印 张 18

印 次 2005 年 2 月第 1 次印刷

字 数 410 000

定 价 24.00 元

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编 选 说 明

文学艺术是人类文化的结晶，是人类心灵的光华。西方历代大思想家对于它的特质和功能、创作和鉴赏、起源和发展，对于它的“作者—作品—读者”三要素的存在境遇和相互关系，都曾有过深刻的思索和精辟的阐释，由此汇集成辉煌的西方文艺理论史。要继承这丰硕而珍贵的思想成果，必须精心研读其重要的经典原著。同时，教育界也积极倡导“双语教学”，以便克服文化心理和语言文字的差异造成的误读，也为国际学术交流的拓展深化创造更有利的条件。为此，我们编选了英文本的《西方文论经典名著选读》。

西方文艺理论史，从公元前五世纪算也已有了两千五百年的历程，其间大师名著星罗棋布。编选本书，既应总体勾勒发展史的基本线索，更要集中展示理论上的突出贡献。因而，我们精选了十位文论家代表作的重要篇章。

上古时代，古希腊是西方文论的发祥地，柏拉图（Plato，公元前427—前347）和亚里士多德（Aristotle，公元前384—前322）是西方文论的奠基人。他们对文艺理论的根本问题、重要范畴、理论体系和研究方法等，都已有了较深入的探讨，从中几乎可以找到以后各种观点的“胚胎”、“萌芽”。上古后期古罗马的文艺理论，前期好像上古时代古希腊文艺理论的晚霞辉映，后期又似中古时代神秘主义文艺理论的灵光闪现。朗吉努斯（Longinus，约公元1世纪）的《论崇高》，最早提出“崇高”这一美学范畴，追求惊心动魄的艺术效果，人称其为“黄金一样宝贵的书”。中古时代基督教的文艺理论绵延千年，却不以文艺实践为主要对象，基本属于神学美学。中古后期文艺复兴凡三百年，文艺创作空前繁荣，文艺理论却无“巨人”。

17世纪，西方的文艺主潮是古典主义，它在法国兴起并进入鼎盛。史家称布瓦洛（Boileau，1636—1711）为古典主义的“立法者”，称其《诗的艺术》为古典主义的“法典”。18世纪，欧洲启蒙运动的中心仍在法国。在启蒙运动三大领袖中，论思想的丰富，狄德罗（Diderot，1713—1784）“是首屈一指的”。18世纪末至19世纪初，德国古典美学和文论达到了西方近代美学和文论的顶峰。康德（Kant，1724—1804）为其“开山祖”，黑格尔（Hegel，1770—1831）则是集大成。康德以其“三大批判”，分别探讨人之心灵的“知、情、意”三种机能，合而构成其哲学的完整体系。“情”为“知”与“意”之中介，而《判断力批判》所研究的审美活动则是人从自然界的必然到精神界的自由之间的桥梁。黑格尔的《美学》涵盖了美学思想、文艺理论和艺术史，贯穿着丰

富的辩证法和宏伟的历史观，是一部“启发深思”、“值得细读”的名著。恩格斯谈及此书时曾说：“只要您稍微读进去，就会赞叹不已”。19世纪前期，西方的文艺主潮是浪漫主义，它在英国最为兴盛。雪莱（Shelley，1792—1822）的《诗之辩护》是他创作经验的升华和理论思考的结晶，可称之为积极浪漫主义的宣言。19世纪中期，西方的文艺主潮是现实主义，它在法国最为繁荣，并受实证主义影响最终走向自然主义，其代表人物是泰纳（Taine，1828—1893）。19世纪后期，西方的文艺主潮是现代主义，曾陆续出现了自然主义、象征主义、唯美主义等文学流派，但引发20世纪非理性主义思潮的还是以尼采（Nietzsche，1844—1900）为代表的唯意志论。

为帮助读者理解原著，选文前的导言对该文论家的历史地位、生平著述及其代表作的主要观点做了简要介绍。所选篇章的汉语译文，多可参见《西方文艺理论史精读文献》；选文后的注释，也多采用该书各篇译者的注文。

本书编选时间仓促，不当之处必定很多，敬希读者和专家赐正。

编者

2003年5月于育新花园

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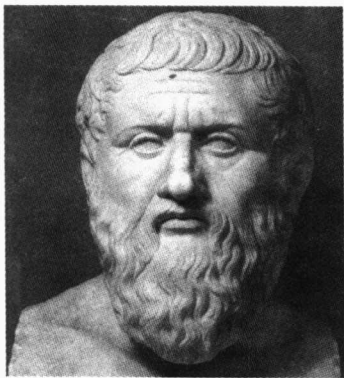
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柏拉图《伊安篇》、《理想国》导读



柏拉图（Plato，约公元前 427—前 347 年）是古希腊伟大的哲学家。他与老师苏格拉底和学生亚里士多德共同奠定了西方文化的哲学基础。阿·诺·怀特海说：“如果为欧洲整个哲学传统的特征做一个最稳妥的概括，那就是，它不过是对柏拉图哲学的一系列注脚。”在西方文艺理论史上，他是对文艺根本问题进行全面深入思考，并对西方历代文论产生重大深远影响的第一人。

柏拉图出身于雅典的名门望族，20 岁时，师从苏格拉底，求学八年。公元前 399 年，苏格拉底被民主派处死，柏拉图才出游埃及和昔勒尼；公元前 388 年，柏拉图又出游西西里，曾去锡拉库萨讲学并推行其政治主张。40 岁时，回到雅典创办阿卡德米学园，讲学著述，直至逝世。

柏拉图著作有 40 篇左右。内容涉及哲学、美学、文艺、教育、政治、伦理多种学科；除《苏格拉底的申辩》外，均采用对话体。集中阐述文艺理论的著作有《伊安篇》和《理想国》的部分卷章。

柏拉图的文艺思想可分本质论、价值论和创作论三方面：

第一，其文艺本质论是以客观唯心主义的“理式论”为基础的。柏拉图认为，“每一类杂多的个别事物各有一个理式”。以床为例，床有三种：一是神创造的“本然的床”，即床的理式，“床的真实体”；二是工匠按照床的理式制造的“个别的床”，“不是真实体，只是近似真实体的东西”；三是画家模仿床的外形画出的“床的影像”，“和真实体隔着三层”。总之，文艺的本质是模仿，而模仿“都只得到影像，并不曾抓住真理”，所以“模仿只是一种玩艺，并不是什么正经事”。

第二，其文艺价值论是以极端功利主义的伦理观为特征的。柏拉图重视文艺的社会功能，要求文艺“不仅能引起快感，而且对于国家和人生都有效用”，即有益于建立“正义”的城邦和培育“正义”的人格。他以此为标准，批评古希腊文艺一是亵渎神灵，丑化英雄，“最严重的毛病是说谎”；二是摧残理性，滋养情欲，“对于听众的心灵是一

种毒素”。因此，他要把诗驱逐出理想国，除非它“真正能给人教育，使人得益”。

第三，其文艺创作论是带有宗教神秘主义色彩的“灵感说”。柏拉图认为，文艺创作不是凭技艺，而是靠灵感。所谓“灵感”，就是诗神凭附后的神力驱遣。创作过程就是诗神凭附于诗人的心灵，赋予他以创作的灵感，诗人的心灵受到感发，便“失去自主，陷入迷狂”，于“无知无觉”中“代神说话”。但是，其“灵感说”却描述了创作过程中的非理性状态，对后世有着深远的影响。

Selections from Plato's *The Ion* *

(c. 390 B. C.)

...

Ion. I cannot contradict you there, Socrates, yet I am perfectly sure I talk on Homer better than anyone else and have plenty of ideas, and all the world says I speak well about him, but about the others I don't. That's the long and short of it.

[Inspiration. 533 C]

Socrates. I understand, Ion, and I am going to explain to you how I think it is. As I said, it is not skill that enables you to speak well about Homer, but a divine power that moves you, just as it does the stone that Euripides calls the magnet but that most men call the stone of Heraclea.⁽¹⁾ This stone not merely attracts iron rings but extends its power to the rings so they can attract others just as the stone does; thus there is sometimes a very long series of iron rings hanging one from another. The power of the stone reaches out to all of them. Thus the Muse inspires some and others are inspired by them until there is a whole series of the inspired. For all the epic poets, the good ones, utter all their beautiful poems not through art but because they are divinely inspired and possessed, and the same is true of the good lyric poets. For just as the Corybantes⁽²⁾ are not in their right minds, so the lyric poets are not in their right minds when they compose their beautiful poems, but when they enter into harmony and rhythm they revel as though they were possessed, like the Bacchae who when they are possessed draw honey and milk from the rivers but cannot do so when in their right minds. The soul of the lyric poets, so it is said, experiences the same sort of thing. For the poets tell us, I think, that they get their poems from the honey-flowing founts in the gardens and vales of the

* Translated by Allan H. Gilbert.

Muses and bring them to us just as do the bees, and that they too are winged. And they speak rightly, for the craft of the poet is light and winged and holy, and he is not capable of poetry until he is inspired by the gods and out of his mind and there is no reason in him. Until he gets into this state, any man is powerless to produce poetry and to prophesy. They write poetry and say many beautiful things on various subjects, as you do on Homer, not by art but by divine gift, each one being able to compose beautifully only in accordance with what the Muse grants to him, whether he produces dithyrambs or encomiums or dancing songs or epics or iambics⁽³⁾; but in other kinds of poetry each one is without ability. For they do not utter the words they do through art but by heavenly power, since if through art they knew how to speak beautifully on one thing, they would be able to do so on all the others.

Therefore the god, depriving these men of their reason, uses them as helpers in prophecies and divinations, that we, when we hear them, may know they are not the ones who utter the noble words that issue from them, for their intellects do not produce them, but the god himself is speaking, and through his human mouthpieces he addresses us. Tynnichus the Chalcidian⁽⁴⁾ is an excellent example of this; he composed no poem that anyone thinks worth remembering, except the paeon everyone sings; this, perhaps the most beautiful of all lyric poems, he composed without the aid of art, for, as he says, some muse invented it. Through this example, above all, the god appears to me to remove our doubts by showing that these beautiful poems are not human nor the work of men but divine and produced by the gods; the poets are nothing but the interpreters of the gods, each one under the influence of the divinity that lays hold of him. In order to make this plain, the god uttered on purpose a lyric of the greatest beauty by means of a worthless poet. Do I seem to you to speak the truth, Ion?

Ion. I am convinced you do. For you lay hold on my spirit with your words, Socrates, and good poets seem to me to interpret by divine aid what they derive from the gods.

[The elocutionist as interpreter. 535A]

Soc. And do not you elocutionists in your turn interpret the works of the poets?

Ion. You are quite right; we do.

Soc. So you are interpreters of interpreters?

Ion. That is exactly it.

Soc. Well then tell me this, Ion, and don't withhold anything I ask. When you are speaking well and making the deepest impression on your hearers, whether you are telling how Odysseus leaped upon the threshold, revealed himself to the suitors, and poured out the arrows at his feet⁽⁵⁾, or how Achilles attacked Hector⁽⁶⁾, or of the sor-

rows of Andromache, or of Hecuba, or Priam⁽⁷⁾, are you in your right mind or are you beside yourself, and does not your spirit seem to take part in the events you narrate, whether they are in Ithaca or Troy⁽⁸⁾ or any other place you tell of?

Ion. How vividly you present this proof to me, Socrates! I will answer you without reserve. When I speak of anything piteous, my eyes are filled with tears; when I mention anything fearful or terrible, my hair stands on end with fear and my heart throbs.

Soc. Is that the way of it? Shall we say, then, that a man is in his right mind who, when he is adorned with beautifully colored garments and golden crowns, weeps in the midst of sacrifices and public ceremonies, though he has lost none of his adornments, or who is afraid when he is surrounded by more than twenty thousand friendly persons, though not one of them is disposed to strip him or treat him unjustly?

Ion. You speak the truth, Socrates; he is not in his sober senses.

Soc. And do you not know that you produce the same effects on many of the spectators?

Ion. I know it right well, for when I look down from the platform I see them weeping and showing signs of terror and astonishment at my words. It is needful for me to give them the closest attention, for if I make them cry I shall laugh myself when I am paid, but if I make them laugh I shall weep because I get no pay.

[Inspiration in series. 535 E]

Soc. Don't you see that these spectators are the last of the rings I spoke of as obtaining their power one after another from the stone of Heraclea? You as an elocutionist and actor are in the middle, the poet comes first. The god through all of them moves the spirits of men as he will, by divine power suspending one from another. And like the rings that hang from that stone, there hangs down a whole chain of dancers and masters and sub-masters of choruses, suspended by the side of the other rings attached to the Muse. One of the poets is sustained by one muse, another by another—we call it possessed, for it is almost that, since he is held. Below the first rings, those of the poets, others are sustained; some are held by the power of Orpheus, some by that of Musaeus⁽⁹⁾, but most are attached to Homer and possessed by him. You, Ion, are one of the rings in the chain attached to Homer, and when someone recites from another poet you fall asleep and have nothing to say, but when a verse from Homer is uttered, straightway you awake, your spirit dances, and your speech flows freely; for not by art or full understanding of Homer do you recite as you do, but by divine gift and inspiration, just as the Corybantes quickly recognize that strain only that proceeds from the god by which they are possessed, and for that song they have abundant dances and words, but to the others they give no heed. In this way, Ion, you abound in words when Homer is men-

tioned, but are mute at the names of the other poets. So in answer to the question why you are bountifully supplied for Homer but not for the others, I say your power to recite Homer is not derived from art but is a divine gift.

...

注释

(1) 欧里庇得斯是希腊的第三个大悲剧家。“赫拉克勒斯石”就是吸铁石。

(2) 科里班特巫师们掌酒神祭，祭时击鼓狂舞。

(3) 这些都是希腊诗的各种体裁，短长格以先短后长成音步，常用于诗剧。

(4) 廷尼科斯不可考。

(5) 故事见荷马史诗《奥德赛》第22卷。俄底修斯参加了希腊军征特洛亚；20年后回国时，许多人正坐在他家里向他妻子求婚，他突然乔装归家，用箭把他们射死。

(6) 是希腊和特洛亚两方面最勇猛的英雄。阿喀琉斯因争女俘事生气，拒绝参战。直到他的爱友帕特洛克罗斯被赫克托耳杀死，才肯出来为爱友报仇，打退了特洛亚军，在特洛亚城下穷追赫克托耳绕城三匝，终于把他杀死。

(7) 安德洛马刻是赫克托耳的妻子，赫卡柏是他的母亲，普里阿摩斯是他的父亲。赫克托耳死后，安德洛马刻、赫卡柏、普里阿摩斯悲恸欲绝。

(8) 伊塔刻是希腊的一小国，归俄底修斯统治，就是俄底修斯射杀求婚者们的地方。特洛亚国在小亚细亚，荷马所歌咏的特洛亚战争的场所。

(9) 俄耳甫斯是传说中荷马以前的古希腊最大诗人。缪赛俄斯是传说中的古希腊诗人，据说是俄耳甫斯的学生。

Selections from Plato's *The Republic* *

(c. 373 B. C.)

Book II

[Some literature is unfit for the young, 377B]

[Socrates is speaking to Adeimantus.]

Shall we allow the children to hear any stories that chance to be told by anyone without distinction and to take into their souls teachings that are wholly opposite to those we wish them to be possessed of when they are grown up?

If we are not to allow it, it appears our first duty is to regulate the story-makers, and accept anything good they produce and reject anything bad. we shall order the nurses and the mothers to tell their children the stories we select, and to form their souls with their stories even more than they form their bodies with their hands. Most of the stories they now tell must be rejected.

We may see the less excellent stories in the better ones, for whatever their quality they are necessarily of the same type.

By the better stories I mean the work of Hesiod and Homer and the other poets, for they composed false stories and told them to men, and continue to do so.

First and above all, I condemn them because they tell lies, and still further because their lies are not attractive.

I have in mind poems in which the author, writing on the nature of gods and heroes, makes a bad likeness, as when a painter makes a portrait that isn't at all like the person he was supposed to portray.

...

* Translated by Allan H. Gilbert.

[Poetry should present God as he is. 378E]

Socrates replied;... The good is then not the cause of everything but merely of things that are beneficial; it is not the cause of evil things. So God, since he is good, may not be the cause of all things, as is usually said, but he is the cause of few things among men, and not the cause of many, for good is much less common than ill; good is caused by God alone, but we must seek out the cause of evil, for it cannot be God.

We are not, therefore, to believe Homer, or any of the other poets, when he foolishly charges the gods with something wrong, as when he says that

Two jars are placed at the threshold of Zeus, full of lots, one of happy ones, the other of unhappy.
and that the man to whom Zeus gives a mingling of the two
experiences sometimes ill, sometimes good.
But the man to whom he gives the second unmingled
terrible misery pursues over the sacred earth.⁽¹⁾
Nor does Zeus as a distributor
provide for us something of good, something of ill.⁽²⁾

And as to the violation of the oaths and treaties, which was the doing of Pandarus,⁽³⁾ if anybody attributes it to Athene and Zeus we shall not approve, nor shall we when someone says that the strife and division of the gods was caused by Themis and Zeus,⁽⁴⁾ nor shall the young men be allowed to hear such words as those of Aeschylus⁽⁵⁾:

God implants in men the cause of wickedness when he wishes utterly to overthrow a house.

But if anyone should write a poem in which these iambics appeared, such as one on the sufferings of Niobe or on the woes of the family of Pelops or on the Trojan war or some such subject⁽⁶⁾, either he will not be allowed to say that the ills he presents are the work of God, or if he is allowed to say so, a reason such as we are now seeking must be brought to light, and it must be said that God does things that are just and good, and that those who are afflicted are benefited by it. But the poet must not be permitted to say that those who are punished are miserable and that God is responsible for their misery. He shall, however, be permitted to say that the wicked are miserable and need punishment and that when they pay the penalty they receive benefit from God. But that God, though he is good, is still the cause of the ills of anyone must be denied in every way, nor must anyone say such things in the city if it is going to have good laws, nor must anyone, old or young, hear them, nor can they be told either in meter or without meter, and if anyone says such things he shall be considered impious, because his words are not useful to us nor consistent with each other.

This then would be one of the laws about the gods, and gives one of the criteria ac-

according to which those who speak must speak and those who write poetry must write, namely, that they are not to say that God is the cause of everything, but only of what is good.

[God is invariable. 380D]

...

[After some discussion, it is concluded that God is altogether simple and true in word and deed, and is not metamorphosed nor does he deceive others, not by phantasms nor words nor by sending signs when men wake or when they dream.]

So this is the second method according to which it is necessary to speak and act about the gods, namely, to make clear that they are not wizards who transform themselves and that they do not deceive us with lies in word or in deed.

[Homer misrepresents the gods. 383A]

If that is true, we can praise many things in Homer, but we cannot praise the dream that was sent by Zeus to Agamemnon,⁽⁷⁾ nor can we praise Aeschylus for having Thetis say that, at her wedding, Apollo in his song

told of her fair children, exempt from sickness and living in blessedness, and sang a paeon saying that in every way my fortunes were dear to the gods, and put courage in my heart. And I trusted that the divine mouth of Phoebus was without falsehood, overflowing with prophetic wisdom. But he who sang the song, he who sat at the wedding-feast, he who spoke such words, he it is who has killed my son.⁽⁸⁾

Whenever anyone says such things about the gods, let us blame him and refuse to give him a chorus and not allow teachers to use his works⁽⁹⁾ in the education of the youth, if we wish our guardians to fear the gods and be godlike themselves, so far as is humanly possible.⁽¹⁰⁾

Book III

[Poetic accounts of Hades. 386A]

[Socrates is speaking to Adeimantus.]

As to narratives about the gods it seems that some of them are fit to be heard and some not fit to be heard by children who are being so trained that they will honor the gods and their parents and put a high value on friendship for one another.

And if they are trained to be brave, should not stories be chosen that will lead them to fear death as little as may be? Or is it possible for anyone to be courageous who has that fear in his heart?

And if anyone believes the stories about Hades⁽¹¹⁾ and its horrors, do you think he will be without fear of death and will choose to die in battle rather than suffer defeat and slavery?

It is necessary, it seems then, for us to devise positive instructions for those who undertake the telling of such tales and oblige them not simply to revile Hades, but rather to praise it, for otherwise they say nothing that is true or profitable for children who are going to be soldiers.

We shall get rid of everything of the sort then, beginning with this passage:

I had rather live on the earth as the slave of some poor man than to rule over all the wasted dead. ⁽¹²⁾

And these:

Lest unto men and gods should appear those abodes, fearful to look on, dark and decaying, that the gods abhor. ⁽¹³⁾

Alas, in the abodes of Hades there remains to us a shade and image, but no intellect. ⁽¹⁴⁾

He alone had wisdom; the others were flitting shades. ⁽¹⁵⁾

Fluttering from the body, the soul went down to Hades, bemoaning the doom that forced it to give up strength and youth. ⁽¹⁶⁾

The gibbering ghost went beneath the earth like smoke. ⁽¹⁷⁾

Just as bats in the depths of some mysterious grotto fly with squeak and gibber when one of the cluster falls from the rock where they cling together, so the gibbering ghosts flew about. ⁽¹⁸⁾

We must ask Homer and the other poets not to be angry if we cancel all such passages, not as unpoetic and displeasing for the rabble to hear, but because the more poetic they are the less fit they are for the ears of boys and men trained to be free and to fear servitude more than death.

Then we must get rid of all the names that rouse terror and fear, like Cocytus, Styx,⁽¹⁹⁾ ghosts, and specters, and all those that by their very names make men shudder when they hear them pronounced. Perhaps there is some use in them, but we fear for our guardians lest they get feverish with horror and grow too soft.

So we must get rid of these names.

...

And moreover we shall not believe or allow it to be said that Theseus the son of Poseidon, and Perithous the son of Zeus rushed on to the dreadful rapes reported of