



培文书系·人文科学系列

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# 电影中的文学

现实主义、魔幻与改编艺术



罗伯特·斯塔姆  
(Robert Stam)



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## 写在前面

电影的文学改编始终是一个令人兴味盎然的题目。它间或如一处栈桥，连接起人类一古老、一年轻的叙事艺术。而叙事，作为承载人类记忆、确立人之身份、传递社会想象的古老路径，无疑是人类最古老的文明印痕、文化样式，或借用利奥塔的说法，是别一种被现代科学所压抑了的知识型。

从远古时代的篝火旁，到穿越漫漫岁月的油灯或烛光下，直到洞烛夜晚为白昼的声光化电之现代的莅临；从老迈的说书人，到近现代的作家、导演；从结绳为忆、口耳相传，到竹简、丝绢上的书写，经雕版印刻，直到印刷、电影制片工业刷新文明面貌；如果说，人们曾尝试凭借叙事为镜，以烛照自己，那么，它也始终是一处人类游戏、或以人类为戏的迷宫所在，一处镜之迷宫或镜中世界。它诱使人们进入，它令人们在其中流连，它许诺着穿越和窥破，却又不断地制造着陷落和迷失。

而所谓电影改编，则成为串联起两种以上叙事艺术样式、成就一份迷人的“翻译”或重述的路径与可能。毫无疑问，所谓电影的改编，可以任何一种其他文本(多为文字纸本)为其“原作”或蓝本。它可以是某段古老传说或诗行，可以是一出戏剧/戏曲，可以是某种社会、新闻事件的记述，可以是某部自叙传或回忆录……但狭义的或约定俗成的文学的电影改编，却大都指向两种现代最为通俗的叙事样式：电影故事片对长、短篇小说的“译写”。一个更为直白、确切的说法便是：从小说到电影。

尽管人类的叙事行为贯穿烟波浩淼的历史，绵延至人类所可能认知的历史源头与尽头之外（所谓“历史”原本是一种较“年轻”、较晚近的叙事样式），但电影改编问题所涉及的，事实上是两种最“年轻”——百岁“而已”或刚满百岁——的叙事样式：小说（主要是长篇小说）和故事片。（在此，我们只能提及却无法展开一个议题：严格说来，短篇小说，是一种与长（中）篇小说相当不同的叙事样式。这里所指的是长、短篇小说的典型且成功的篇章，不包括某些短篇小说，其实是长篇小说“压缩版”或“大纲”。而事实上，只有长篇小说是适宜电影改编的叙事样式。）同样，尽管长（中）篇、短篇小说的写作可以上溯到中国的史传文学、传奇、笔记文、话本、讲经故事、章回体小说和种种民间说唱、表演艺术，或欧洲的流浪汉故事、回忆录或忏悔录或戏剧，但严格说来，与电影的文学改编紧密相关的现代长篇小说——主要是其中的“现实主义”写作，于18、19世纪的欧洲兴起并达到全盛——是某种充分“现代”的新叙事艺术。尽管细密说来，它又有着与欧洲中世纪的哥特式小说或出自德国的“成长故事”或其中国版的武侠、新武侠……等相联系的多重渊源和脉络。所谓现实主义小说——姑且不论其批判与否——是18、19世纪大众文化的主打商品，是印刷媒介与初兴的文化工业的新造物，其取得人类文明史上叙事艺术空前成功的秘诀之一是，它获取或曰创造了一种至为成功的“透明”的形式，尽管语言/文字/印刷媒介决定了小说是一种时间艺术，但它却成功地创造了一种时空连续的真实幻觉。现实主义小说提供了一套叙事的成规与惯例，提供了——用电影理论家克利斯蒂安·麦茨的说法——某种被“暴露癖式的情节所遍布”的时间/叙事链条，或借用著名美国导演希区柯克的说法，便是：“剪去了琐屑片断后的人生”。它们成功地诱发并满足人们“瘸腿魔鬼”般的窥视欲望——揭开每一处密闭的屋顶，掀起每一面低垂的帘帷，去窥看、洞察不为外人知的私密人生场景。从某种意义上说，18、19世纪，小说、尤其是长篇小说占据了叙事艺术绝大部分场域，成为最为流行的大众文化样式，渐次支撑起一个颇具规模的文化工业格局。直到上一世纪之交，电影摄影机器，作为彼时彼地人们眼中的雕虫小技问世。

即使在电影摄影机器之父卢米埃尔兄弟心目中，电影也不过是

道地的奇技淫巧，是欧洲大发明时代旋生旋灭的一小朵浪花。但另一个确乎凭雕虫小技（木偶剧团）为生的艺人梅里爱却因精明的生意眼，而成就了20世纪世界文化史上最重要的一次偶然：电影与叙事的结合。而这一结合所蕴含的巨大潜能，尚需经历此后的若干历史时刻方能充分显现。其一，早期重要导演格里菲斯的允诺：“首先，我要让你们看见”，及早期电影理论家贝拉·巴拉兹的宣告：“可见的人类”，使得电影/故事片，在一系列的偶然和创造中，发展成为一套叙事“语言语法”，尽管“不是因为它是一种语言方才讲述了如此美妙的故事，而是因为它讲述了如此美妙的故事，始成了一种语言”（K·麦茨）。其二，是1927年，随着有声片的出现，电影作为具有相对时空结构的视觉媒介，获得了声音手段，成就为新的视听艺术。电影在其能指系统的层面上，获得了接替、进而取代小说（确切地说，是现实主义长篇小说）叙事的“物质”基础。其三，则是始自上世纪50年代的欧洲“作家电影”浪潮。电影开始向人们一度认定的媒介“禁区”：幽隐的人类心灵世界深入，直到它可以在60年代自豪地宣告：电影有能力处理人类所有高深玄妙的议题。

自20世纪30年代起，电影工业（主要是主流商业电影：诸如黄金时代的好莱坞大片厂或法国优质电影工业）开始在大众文化工业系统中全面崛起。如果说是在此时，电影/故事片开始全面排斥并取代了此前长篇小说在大众文化中的位置，成为文化消费的主打商品，那么，同样是在此时，电影开始形成并渐次完满了其主流叙事的成规与惯例。犹如18、19世纪的文学工业，主流商业电影渐次拥有了一套高度透明化的形式系统，一套成功地制造真实幻觉的媒介手段。与此同时，电影全面取代了此前长篇小说在现代社会中的功能角色：作为最为通俗的大众文化样式，作为相对廉价的文化消费品，作为世俗神话的载体。

如果说在20世纪电影成功地在社会功能和文化消费的层面上取代并不断排挤着文学（长篇小说），那么，电影/故事片作为如此年轻的叙事艺术，尽管在理论上具有无限广阔的素材资源，但其自身的叙事传统毕竟是如此的短暂而单薄。当“伟大的哑巴”开口说话——电影刚刚获得了声音，其“本能”选择的第一仿效对象是另一个艺术、也是文学样式：舞台剧的叙事技巧与再现形态。但电影

人很快便发现，尽管表演是电影重要的再现元素之一，但它并非某种以声光化电记录下来的戏剧形式，相反，就其叙事的能量与社会心理功用而言，它更接近于小说，尤其是长篇小说。于是，长篇小说，这一年轻、但相对于电影而言已极为“古老”的叙事样式，便成为电影始仿效、继而借重的最重要的艺术、叙事样式。鉴于文学史已创造了如此众多的名篇、名著，改编很快便成为一个重要的电影议题，一个艺术花园中的小径交叉之处，一个社会文化舞台上的合唱或曰重唱之所。但艺术电影的成熟形态、也是其最高成就所在则是：欧洲作者索性彻底排斥改编，倡导电影叙事的真正原创，其实践形式是原创性的“编剧、导演合一”。

从小说到电影，人们首先直觉到且瞩目之处是情节、人物的取舍，是环境或曰空间元素的强化，是场景与对白的风格化向情境化的转换。因为电影首先是作为影院艺术，故在叙事层面上，其第一限定是观众的视觉疲劳极限。它决定了一部影片的长度只能在90分钟上下。相对于长篇小说间或展示一个世代、或一个人的漫漫人生，一部故事片的容量太过有限（尽管存在着系列片/连本剧，但每部影片毕竟相对独立；直到一种新媒体：电视将连续剧的形式带入视听艺术世界，于彼媒体处，叙事容量才不再是首要且无法逾越的限定）。于是，一部蹩脚的改编片，可能如同某名著的连环画或插图本，只能依凭观众对原著的热爱和熟悉方始成立。而一部成功的改编自文学作品的电影，则往往经过了对原著大幅度的删削、二一添作五的取舍，同时包含着相当篇幅的添加、乃至原创。事实上，在电影改编的理想状态中，所谓原著，只是众多可能的电影叙事素材中的一种；就素材而言，较为成熟完美的一种则是，电影艺术家在此素材间展开自己的“原”创。电影最多、最直接借重于文学原作的，常常是作家对某种人物类型的塑造，对“人性深渊”的直面和开掘，尤其是小说家/语言艺术家对对话的营造——尽管在另一种情形下，作家个性化或风格化的对话形式，是改编的障碍，而非便利。众所周知，对家喻户晓、名闻遐迩的文学名著，一个改编者便难以获得较大的自由度。因为任何大幅度的改编，都可能遭到这类影片特定的观众：对原著极为熟悉且数量颇巨的读者的反感和抵制。因此，对文学名著的电影改编常常是某种极难成功或曰讨巧的工作。

但名著的魅力与借助名著的魅力获取成功的愿望，仍驱使电影人屡败屡战。其间也并非没有成功的范例，但从小说到电影，改编所渴望成就的，不应仅是同一故事的不同版本，而原本就应该是两部参差交错却又珠联璧合的杰作。

涉及电影改编，人们相对忽略的是，从小说到电影，远不仅是“内容”元素的取舍或浓缩，更重要的是两种媒介系统、两种语言间的生成转换，或曰翻译。显而易见，相对于叙事行为而言，如何讲述和讲述什么同样、甚或更加重要。尽管主流/商业电影，一如18、19世纪欧美现实主义小说，成功地营造了其形式的透明感：仿佛故事、乃至真实在呈现自身，仿佛电影的叙事人、电影的视听语言层面并不存在或几近透明；但毋庸赘言，这只是某种媒介效应或曰社会心理效应而已。从小说到电影，首先必须跨越的“天堑”，是媒介的不同。一个优美的小说故事，诸如一位盲人的自知叙述，可能是电影无从改编的“素材”——如何以视听语言去翻译一个不见/不可见的世界，是电影不可能完成的任务或挑战。其实，早期电影理论家就已指出，小说家康拉德所说的“我首先要让你们看见”，与导演格里菲斯一字不易的宣告具有截然不同的意涵。

另一个事实上早已为改编者所深谙但却较少为人们明确论及的改编议题是，每一次文学作品的电影改编，不仅意味着一次再创造，而且意味着一次后结构主义意义上的“重述”。犹如任何一部文学或艺术的经典、名作之常新，不仅在于它们有着“永恒的”审美价值；其常新刚好在于不同时代、不同社会语境下的一再重读，或曰再阐释。而文学名著的众多电影改编本，便是这类重读/再阐释的可见形式。于是，名著的改编片，一如其他改编或原创电影，“重要的是讲述神话的年代，而非神话所讲述的年代”。即，阐释改编的选取的依据，不仅是原作自身的审美或社会意义，而且是改编片自身所提供的不同审美趣味与社会意涵。就这一层面而言，重要的不是讨论是否“忠实原作”，而是展现原作与改编片间有趣的多重互文关系。

论及改编，在惯性的指认上，常常意味着一个单向度的流动：从小说到电影。而事实上，早在20世纪60年代，一个双向的流动，或文学视点中的“倒流”就已经发生，其中最引人注目的，是电影理论的前沿和领先角色。而相对于改编，则是另一种倒流：作为电影之文



学改编形式的非原创小说的出现。然而，这与其说是一种新的创作路径，不如说是一份新的商业营销术。无需太多的精明，文化商人早已发现，一部成功、甚或失败的改编自文学作品的电影，都会带动原作的新一轮销售。当然，此处所谓的失败，不是默默无闻、悄然湮没，而是指恶评如潮，骂声不绝。而文学“原”作的热销，则无疑是其改编片的最佳、最廉广告。于是，一个有趣的情形便出现了：当某制片机构选定了某个电影剧本，它同时会先期约定编剧或另寻得作者，将此故事“改编”为小说形式推向图书市场。其较早和极为成功的例子是好莱坞名片《爱情故事》，其晚近的形式则是中国的“影视同期书”。在这一向度上，又一个有趣的例证是，当一部改编自文学作品的电影热销，原作者（自然非名家）会依照小说情节改写自己的原作（自然非名著），以防影片的观众会对原作失望并抵制。

因此，改编，或曰文学与电影，是一个极为丰富广阔的议题和论域，它可以是一种特定的创作论——改编理论，可以是两部文本间的比较研究，可以是一份跨学科、跨媒体研究，可以是一种特定的互文关系的探讨。此外，它也可以是文化研究驰骋之疆场：一个介入社会文化批评的入口处，一段探讨文化工业、文化市场的“佳话”，一处认知“讲述神话”之年代的文化批判所在。

就中国电影史而言，多重意义、多种样态的改编可谓洋洋大观，有关改编的讨论也始终不绝于耳。改编问题始终为创作者与研究者所热衷。北大出版社即将引进的关于电影改编、或曰文学与电影的英文专著，无疑将为这一论域提供新的视点、资源与可资借镜的议题。

**戴锦华**

2005年9月于畅春园

# Preface

*Literature Through Film: Realism, Magic, and the Art of Adaptation* is part of a three-volume series devoted to literature and film, and, more specifically, to the history, theory, and practice of the filmic adaptations of novels. This first volume approaches the subject from the specific angle of the history of the novel. Arranged according to the chronology of the literary source texts rather than that of their filmic adaptations, *Literature Through Film* highlights key moments and trends in the history of the novel from *Don Quixote* and *Robinson Crusoe* to Nabokov's *Lolita* and Carpentier's *Concierto barroco*. All the novels are treated in their own terms, as novels, but also as seen through their various filmic adaptations. In each case, I stress the historical importance of the novel, its central narrative and aesthetic strategies, and its verbal texture, before moving to the "re-readings" of these same novels as "performed" by film. In sum, I provide an historicized overview of privileged moments in the development of the novel, but as refracted and "rewritten" in the form of cinematic adaptations.

The second volume, *Literature and Film: A Guide to the Theory and Practice of Film Adaptation* (co-edited with Alessandra Raengo), consists of a wide range of essays, virtually all previously unpublished, covering a wide spectrum of subjects and problematics. My introductory essay on "The Theory and Practice of Adaptation" is followed by a wide variety of essays concerning single novels/adaptations, essays that both illustrate and problematize the methodologies.

The third book in the series, entitled *A Companion to Literature and Film* (also co-edited with Alessandra Raengo), complements the first two volumes by

exploring the broader question of the interface between the literary and the filmic. More specifically, the *Companion* features theoretical and analytical essays, again previously unpublished, concerning such issues as: (1) the narratology of adaptation; (2) adaptation in the oeuvre of single directors (for example, Alfred Hitchcock); (3) hidden intertextualities (for example, the unacknowledged presence of *Les Liaisons dangereuses* in the work of Eric Rohmer; and (4) thematic/generic essays on such topics as apocalyptic fiction/film, cross-cultural adaptation, the Hollywood novel/film, *noir* novels and films, the Bible as cultural object in popular cinema. The *Companion* moves the discussion beyond adaptation per se into broader questions of transtextuality and intermediality.

Although the essays in the two edited collections do not conform to any a priori theory or model, they all share a reflexive awareness of key orienting questions or "problematics." In diverse ways, they mingle the methods of literary theory, semiotics, narratology, cultural studies, and media theory. The totality of the essays will move adaptation discourse forward, through a tour de force of sophisticatedly literate (and cine-literate) readings, performed so as to reconfigure the field of literature/film studies. Cumulatively, the work is highly international, covering novels/films from England, the United States, France, Italy, Germany, Spain, Ireland, Russia, China, India, Egypt, Senegal, Cuba, Brazil, Argentina, Mexico, and Venezuela. The work represented in all three volumes points the way, it is hoped, toward a richly theorized and complexly contextualized and transformalist approach to adaptation. While paying homage to the classics of world literature, the work will also highlight the contemporary relevance of adaptation studies in the age of the Internet.

# Acknowledgments

*Literature Through Film: Realism, Magic, and the Art of Adaptation* is primarily composed of newly minted material. The book does, however, at times revisit issues that I have previously considered, although they are now seen in a different light. Most notably, some of the material on *Don Quixote*, *Tom Jones*, *Contempt*, and *Last Year at Marienbad* was first "essayed" in my book *Reflexivity in Film and Literature: From Don Quixote to Jean-Luc Godard* (New York: Columbia University Press, 1989). Yet my optic there was completely different, since that book focused on the issue of reflexivity, while *Literature Through Film* focuses on the issue of adaptation. In my past writing, I have also repeatedly returned to the subject of Mário de Andrade's 1928 novel *Macunaíma* and the 1969 film adaptation based on that book; it appears in *Reflexivity in Film and Literature*, in *Subversive Pleasures: Bakhtin, Cultural Criticism, and Film* (Baltimore, MD: The Johns Hopkins University Press, 1989), and in *Tropical Multiculturalism: A Comparative History of Race in Brazilian Cinema and Culture* (Durham, NC: Duke University Press, 1997). Each time, I have changed the discussion in the light of the larger topic; here it forms part of a larger discussion of adaptation and "magic realism." (Perhaps I return so obsessively to *Macunaíma* in the hope that renewed interest will lead to a new translation of that brilliant novel and a new distribution of the equally brilliant adaptation.)

Since this book emerges from three decades of teaching and writing about film and literature, there is no way I can acknowledge all those who have helped

or supported or influenced me. Indeed, to name any names at all is to risk offending the many I have left out. While my intellectual debts should be obvious from the notes to each chapter, I do want to recall just a few names among many supportive friends and colleagues: Bertrand Augst, Robert Alter, and Walnice Galvao were all helpful in the first phases of my career. Thanks also go to Ella Shohat (my constant interlocutor and critical reader), to my colleagues in New York and elsewhere (many of whom are included in the anthology volumes in this series), and to the academic audiences to whom I have presented various versions of these materials: at the University of São Paulo, Brazil; the Federal University in Rio (Niteroi); the University of California at Santa Cruz; the Udine Conference on Silent Cinema; and the University of Delhi (the 2004 Conference on Literature, Culture, Film).

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To anyone who has had the privilege of knowing Edward Said, as I have, or only of reading his work, there is no need whatsoever to explain why this book would be dedicated to him. As Ana Dopico put it at a memorial commemoration: "Now it is up to the rest of us."

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**Figure 7.3** Grande Otelo in *Macunaíma* (1968), produced by Condor Filmes / Films do Serra / Grupu, distributed by New Line Cinema.

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