《红楼梦》称呼语研究

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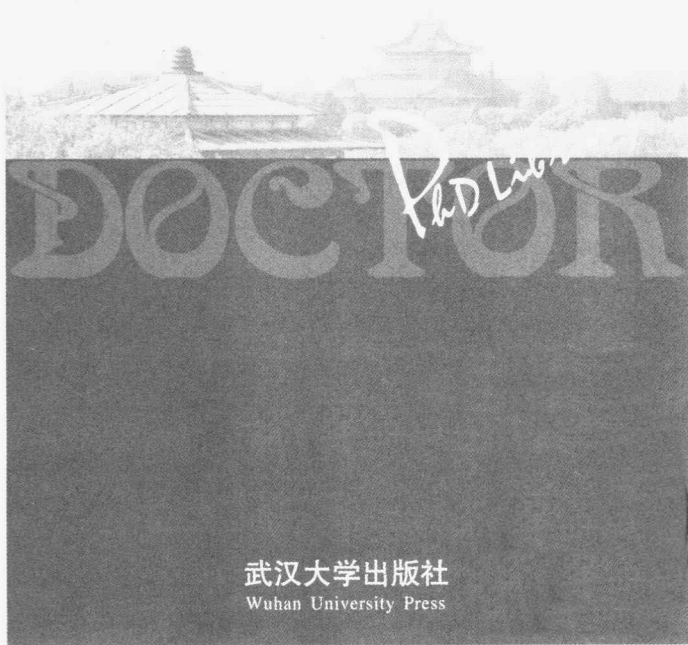
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中 文 摘 要

对《红楼梦》称呼语的全面研究一直是红学的一项空白。本书试图从社会语言学、功能语言学、语用学、修辞学的角度，全面、深入、具体地研究《红楼梦》中人物之间选用称呼语的情形，从中得出一些规律性的认识。本书主要研究《红楼梦》中的人物在会话中如何指称对方、他人或自己，进而揭示通过所选用的称呼语来反映或表现人与人之间的关系、态度或情感的一般规律。

全书共五章。

第一章为绪论，交代称呼语研究的 5 个背景问题：称呼语的含义、称呼语研究的意义、称呼语研究的历史和现状、《红楼梦》版本及研究方法。凡是在会话中用以指称对方、他人或自己的词语，都在本书研究之列，我们统称之为"称呼语"。本书所指的"称呼语"，包括但不限于用称谓名词来指称的称呼语；包括但不限于表示彼此关系的名称；包括但不限于当面招呼的称呼语。

称呼语包括称语和呼语。称语是用于指称的称呼语，呼语是用于招呼、呼唤的称呼语。呼语仅用于当面招呼对方，称语不仅有当面指称对方的对称，还有自称和他称。呼语和

称语除了功能不同（呼语用于招呼对方，称语用于指称某人），在使用范围、构成特点方面也不尽相同。称呼语研究具有理论与实践两方面的意义。第一，研究称呼语有助于加深社会语言学中的礼貌语言研究。称呼语是最直接反映人际关系以及对人态度的语言形式，因而称呼语研究是研究礼貌语言的重要方面，可从一个侧面深化礼貌语言研究。同时，称呼语的选择和使用会受到哪些因素的制约，如何恰当地使用称呼语以维系和发展良好的人际关系，这些都是语用学和修辞学非常关心的问题，称呼语研究必将深化语用学、修辞学的研究。此外，称呼语往往因文化、民族而异，不同的文化传统、民族心理会通过称呼语得到体现。因此，称呼语的研究必将丰富文化学、民族学的研究。再者，对《红楼梦》虽然有较广泛的研究，但还没有用社会语言学、语用学、语义学等理论来全面审视其称呼语。因此，从红学研究的角度看，本课题应该说也是有价值的。称呼语研究的实用价值表现在两个方面：一是对跨文化交流具有指导作用，二是对语言教学具有参考价值。称呼语的研究在国内外都取得了一些成绩，但《红楼梦》称呼语研究一直是被忽略的一隅，亟待加强。本书采用的版本为曹雪芹、高鹗著《红楼梦》，中国艺术研究院红楼梦研究所校注，人民文学出版社 1996 年 12 月第 2 版。鉴于该书后四十回著作权目前尚有争议，本书仅将前八十回作为研究对象。主要采用静态与动态结合、穷尽统计与逐类分析结合、描写与比较结合的研究方法。

第二章分两节解析《红楼梦》称呼语的构成，一是称谓系统与非称谓系统的称呼语，二是复合式称呼语。前者主要

讨论单词式称呼语，后者重点研究比单词式称呼语结构复杂的组合式称呼语。称呼语可分为称谓系统与非称谓系统两大类。称谓系统的称呼语是约定俗成的有纵向或横向关系的称谓词语。凡是用不从属于一定称谓系统的词语来指称的，我们称之为非称谓系统的称呼语。称谓系统的称呼语又分亲属称谓系统的称呼语和社会称谓系统的称呼语。就亲属称谓系统的称呼语，我们从对称、他称和自称三方面探讨了平辈之间的称呼、晚辈对长辈的称呼以及长辈对晚辈的称呼。非称谓系统的称呼语分四类：姓名称呼语、指代称呼语、名词称呼语以及单纯"的"字结构称呼语。各类下又分细类进行描写。复合式称呼语是指由一个单词添加别的语素构成的、或者由两个或多个词合成的称呼语。《红楼梦》中的复合式称呼语主要有五类：附加式、同位式、联合式、偏正式、复杂的"的"字结构。以上两节均有称呼语简表备查。

第三章分析《红楼梦》称呼语的礼貌色彩和情感表达的形式。情感因素的正极是礼貌性称呼，这是主要的，尤其需要讲究，研究礼貌语言不能不研究称呼语。情感因素的负极是礼貌性称呼的反面，即反礼貌的称呼。情感因素的正极和负极相反相成，有不同的层级，构成称呼语的情感链。第一节将《红楼梦》里称呼语的情感因素分为八类，其中尊称、敬称、昵称、谦称是礼貌性称呼，属于礼貌语言，可视为礼貌称呼的正极；傲称、蔑称、詈称与礼貌语言相悖，可视为礼貌称呼的负极；谐称是中间态，或近于昵称，或近于蔑称。这一节探讨的是称呼语相对静态的一面。第二节讨论称呼语情感表达的活用，也就是称呼语动态的一面。

　　第四章旨在用社会语言学、语用学、修辞学和功能语法的观点来审视《红楼梦》中称呼语使用的制约因素。根据会话中称呼语使用的实际，我们将称呼语使用的制约因素分为五个方面：时空、正式程度、语场、人际关系、语篇。时空是指交际发生的时间和地点；正式程度是指交际的正式与非正式；语场指交际的主要内容；人际关系是指谈话所涉各方的身份、地位等客观因素以及说话者的态度、动机等主观因素；语篇则指上下文对选用称呼语的影响。实际上，这五种因素可能交互错杂，但是为了说明问题，我们暂且将它们单独离析出来，以剖析书中称呼语运用所受到的制约。时间对称呼语选择的影响相对于空间而言不很明显。时间往往是渐变的，需要一定的跨度或间隔才能导致称呼语的改变，才能显示出对称呼语选择的影响。但这种影响在书中还是明显存在的。交际空间对称呼语的制约首先体现在是面称还是背称的背景上。其次，交际空间对称呼语的制约还体现在两人在场还是多人在场的背景上。空间对称呼语选用的影响还体现在指示代词"这""那"的使用上。正式程度对称呼语的选用也有制约作用。交际的正式程度与交际场合时常是相辅相成的，在正式场合所用称呼语庄重、典雅，而在非正式的场合，如关系密切者之间的日常谈话，所用称呼语可以非常随意、亲昵甚至谐戏。语场主要指交际任务、交际内容。谈论的主要内容不同，所用词汇自然会有差别。称呼语会因谈话内容和交际任务的不同而不同。日常生活中所用的称呼跟社交活动中使用的称呼必然有所区别。"人际关系对称呼语使用的制约"一节主要讨论与人际关系密切相关的身份、地位

等客观因素和态度、动机等主观因素对称呼语使用的制约作用。我们通过权势和共聚两个因素分析了身份、地位对称呼语使用的制约。不仅身份、地位影响称呼语的使用，就是在身份、地位一定的情况下，谈话双方的态度和动机等主观因素也会制约称呼语的选择。在这个方面，社会语言学和语用学的观点有显著的差别。社会语言学所关心的是相对固定的、静态的社会因素，如地区、阶层、民族、性别、年龄等对个人语言使用的制约。从社会语言学的角度看语言运用，是把个人置于一种被动的地位：语境如此，你应该这么说，不应该那么说。语用学更为关注的则是个人相对变动的言语特征，如相对地位、社会角色等，重视个人如何积极利用语言达到特定的目的。从语用学的角度看语言运用，更多地赋予个人一种主动的角色：虽然语境如此，但你可以利用语言创造或改变语境，达到个人的目的。我们通过丰富的实例阐明了态度、动机与称呼语使用的互动。称呼语的选择还不可忽视语篇的制约作用。这里语篇主要是指已有的话语背景或上下文。就《红楼梦》称呼语而言，至少有五种情形比较明显地反映出语篇因素的制约作用。这五种情形是：称呼语的移用、称呼语的易用、称呼语的简化、称呼语的曲用、称呼语的仿拟和飞白。本章最后选取凤姐这个人物，通过她使用称呼语的情形，来阐释称呼语使用的各种制约因素。

　　第五章通过《红楼梦》与英语名著《弃儿汤姆·琼斯的历史》的比较，分析两者在称呼语使用上的相似和差异，展现《红楼梦》称呼语的民族性。汉语称呼语的民族性，是汉族人民在使用汉语称呼语上与自己民族文化因素相适应，与

汉语言的构成特点相联系的一系列言语特点的综合。这里起作用的因素主要有两个：一是民族文化因素，一是民族语言因素。本章主要以文化因素为核心，就称呼语的表现形式和方法进行比较，希望在比较中显示异同，尤其是显示在不同民族文化影响下称呼语使用的不同特点。文化因素虽然有相通之处，但比较而言，中国传统文化中包括封建礼教和宗法观念等的民族文化内涵和民族特点在称呼语中的反映十分明显。

Abstract

An overall study of the address forms of *the Red Chamber Dream* has remained a blank of "Redology." The present book, from perspectives of sociolinguistics, functional grammar, pragmatics, and rhetoric, attempts a comprehensive, deep, and detailed investigation into how address terms are used by the characters so that some general understandings could be acquired. The book focuses on how the characters of the novel refer to the interlocutor, the third party and themselves in conversations and in so doing, intends to uncover the general rules concerning the choice of address forms in reflecting or indicating interpersonal relationships, attitudes, and emotions.

The book consists of five chapters.

Chapter 1 is the preface, explaining five background issues of the study: sense of address form, significance of address form studies, literature review, editions of *the Red Chamber Dream*, and research methods. All the words and expressions used to refer to the speaker, interlocutor and

others in conversations are included in our study and called *Address Forms*. In this book, address forms include but are not confined to nouns of address, names signaling personal relationship, and face-to-face vocatives. Address forms involve both references and vocatives with the former used to refer to people and the latter to greet and call people. Vocatives are used for face-to-face communication only whereas references may refer to the speaker, addressee, or others. Besides difference in function (one for referring and the other for calling), references and vocatives differ in scope of use and structural characteristics. Address form studies are of both theoretical and practical significance. Firstly, the study of address forms contributes to the deepening of linguistic politeness studies as part of sociolinguistics. As address forms are linguistic units most direct in revealing interpersonal relationship and attitudes, their studies are an important component of linguistic politeness and may deepen politeness studies. Secondly, what determining factors are at work in the choice and manipulation of address forms and how we use address terms appropriately to maintain and develop sound interpersonal relationship are great concerns of pragmatics and rhetoric. Therefore, address form studies are certain to throw light on these two disciplines. Thirdly, address forms vary from culture to culture and from nation to nation, and they carry

cultural heritages and national psychologies. In this sense, therefore, address term studies will enrich ethnology. In addition, for all the explorations of *the Red Chamber Dream*, no comprehensive examination has ever been carried out regarding its address forms on the basis of soliolinguistics, pragmatics, semantics, etc. From the point of view of redology, therefore, the present study may be said to be valuable. When it comes to practicality, there are two purposes to serve — to guide intercultural communication and to promote language teaching and learning, which has begun to stress communicative competence on the part of the learners. There is no denying that address form studies in general have reaped considerable results at home and abroad, but the studies targeting the address terms of *the Red Chamber Dream* have been neglected and require immediate and serious treatment. The version as used in this book is the 120-chapter second edition done by the Hongloumeng Institute of the Academy for the Study of Chinese Arts, published by the People's Literature Publishing House in December 1996. Given the controversy on the authorship of the last 40 chapters, this study involves the first 80 chapters only. Our research methods are to approach the address forms in both static and dynamic manners, to conduct exhaustive counting and type-by-type analysis, and to combine description and comparison.

Chapter 2 decodes structures of address forms. Part 1 is on the address and non-address system while Part 2 is on complex address forms. The former discusses address terms at word level and the latter complicated multi-component address forms. Address forms generally fall into two categories: those of the address system and those of the non-address system. The address system forms are conventional terms with horizontal or vertical relations. Those without such relations belong to the non-address system. The address system forms are of two subtypes: kinship terms and social terms. As far as kinship terms are concerned, in terms of interlocutor-reference, other-reference, and self-reference, we deal with the address forms used in the same generation, those used to older generations and those to younger generations. The non-address system forms fall into four classes, concerning names, pronouns, nouns, and the simple constructions ending with de ("的") respectively. Each class is subdivided for further description. Complex address forms are those made up of one word and other lexical items or of compounds of two or more words. There are five types of complex address forms in the novel: affixations, appositions, parallel constructions, modifier + head constructions, and complicated constructions ending with de. There is a table provided at the end of each part.

Chapter 3 looks into the address forms in terms of

politeness and emotion. Located at the positive end of the emotive factor continuum are polite address forms, which need particular attention and are important to linguistic politeness. At the negative end of the emotive continuum are anti-polite address forms opposite to polite ones. Emotive factors of different levels complement to form an emotive chain of address forms. The first part of the chapter divides the address forms of the novel into eight types of emotive factors, among which honorific, respectful, intimate, and modesty forms are polite language and may be viewed as toward the positive end of polite address forms. The conceited, contemptuous, and cursing forms go against linguistic politeness and may be considered the negative end of polite address forms. The playful form represents the middle ground, being intimate sometimes and contemptuous other times. This part takes the static aspect of address forms. Part 2, on the contrary, deals with the flexibility of address forms used to express emotion, that is, the dynamic aspect of address forms.

Chapter 4 is designed to examine the determining factors affecting the use of address forms of the book from the perspectives of sociolinguistics, pragmatics, rhetoric, and functional grammar. Based on the actual use of address forms in conversations, we categorize the determining factors into five types: time and space, formality, field of speech,

interpersonal relationship, and text. Time and space refers to the time and place of communication; formality means to what extent the communication is formal or informal; field of speech refers to the content involved; by interpersonal relationship is meant the objective factors such as identity and status and the subjective factors such as the speaker's attitude and motive; text has to do with how context plays a role in the choice of address forms. In fact, these factors are most probably interrelated, but for convenience of presentation, we choose to highlight one of them at one time. Compared with space, time is not such an obvious factor affecting the use of address forms since change in time is gradual and causes change in address forms only after some span of time. This influence of time, however, does exist in the novel. The influence of space on address forms is firstly shown against the background of direct address or indirect reference. Secondly, the influence has to do with whether the speaker and interlocutor are alone or whether there are other people present. Thirdly, the influence of space is indicated by the use of demonstrative pronouns *this* ("这") and *that* ("那"). Formality also affects the choice of address forms. Formality of communication often means formality of situation. Formal situations demand solemn and refined address forms while in informal situations, such as daily talks between close friends and acquaintances, address forms could

be very informal, intimate, or even playful. Field of speech is mainly to do with the task and content of communication. Difference in content of talk naturally leads to difference in vocabulary. Address forms vary from content to content, from task to task. Daily talks definitely use different address terms from those of social gatherings. In the section of interpersonal relationship affecting the use of address forms, the main concern is to discuss how address forms are determined by the objective factors such as identity and status and the subjective factors such as the speaker's attitude and motive. Through power and solidarity, we analyze the influence of identity and status on address form use. Not only that, but when one's identity and status are set, the subjective factors like attitudes and emotions of the speaker and audience exert an influence on the choice of address forms. In this connection, sociolinguistics and pragmatics differ considerably. What sociolinguistics is mainly concerned about is how some relatively stable and static factors such as region, class, ethnicity, gender, and age affects an individual's use of language. Sociolinguistically speaking, an individual plays a passive part, so to speak: the existing context determines you speaking this way rather than that way. Pragmatics, however, gives more attention to relatively mobile features of an individual such as relative status and social role and how language could be manipulated

to serve particular purposes. Pragmatically speaking, an individual plays, so to speak, a positive role: in spite of the current context, you could use language to change it or create a new context so as to attain your goal. With ample examples we illustrate the interaction of the speaker's attitude and motive and the use of address forms. Finally, in choosing address forms, we should not neglect text as a determining factor. By text is meant the existing discourse background or co-text. Five cases in the book reflect the influence of text on the choice of address form: re-employment, employment with slight change, abbreviation, indirect employment, and imitation-coinage and sound imitation. The last section of the chapter takes Wang Xifeng and via her actual choice of address forms in different cases, illustrates all possible determining factors involved.

Chapter 5, comparing *the Red Chamber Dream* and its British counterpart *The History of Tom Jones*, deals with their similarities and dissimilarities in address form use to demonstrate the national characteristics of the address terms used in the Chinese classic. The nationality of Chinese address forms refers to an integration of a series of speech features as demonstrated by Chinese people in using address forms to adapt to their own national and cultural factors as well as to relate to the characteristics of the Chinese language. There are two major factors in play here: the