

多维视野中的  
福克纳小说  
沈从文

● 李萌羽 著

齊魯書社

中国海洋大学文学与新闻传播学院  
青年教师学术文库

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## 序

杨守森

在 20 世纪的世界文学史上，远隔重洋的中国作家沈从文与美国作家福克纳，确乎存在诸多相似之处：都曾有过厌弃学校教育的童年经历，都钟情于自己的故乡，都倾心于带有浓郁田园色彩的农业文明，都有着对纯洁的道德力量和永恒精神力量的敬仰，生活与创作的时间段也大致相当。在其作品中，沈从文创造了中国的“湘西世界”，福克纳创造了美国的“约克纳帕塌法天地”；沈从文关注处于社会边缘地位的苗人群落，福克纳关心美国黑人的命运。以跨文化的视野，将两位作家予以比较，实在是一个很有意思的课题。但因涉及两个国家、两个地域的不同的复杂文化因素，其难度可想而知。且对这两位作家的比较研究，亦有不少成果问世，要有新的突破，亦殊为不易。7 年前，在山东师大文学院攻读博士学位的李萌羽，不避艰难，还是执着地选定了这一课题。毕业答辩时，其论文亦还是赢得了专家们的较高评价。与已有研究成果相比，李萌羽的论文，从本土文化、后现代性、生态美学等维度，对沈从文与福克纳的小说特征、文化内涵与价值的比较分析，应当说，还是有不少独到之处的。

值得赞许的是，李萌羽并没有满足于此，毕业之后，仍一直在对此课题进行着思考。她曾借赴美访学之机，又实地考察

了福克纳的故乡，拜访了美国的有关学者和研究机构，广泛搜集了相关材料。在此基础上，进一步拓展了自己的研究视野，深化了自己的研究思路，反复修改了自己的论文。如今完成的这部书稿，资料更为充实了，内容更为厚重了，分析论述也更为深透了。

与原博士论文相比，作者又在书稿中又增加了宗教学与原型批评两个维度，补写了第四、第五两章。这样的增补，当然不是表面的“跨文化视野”维度的添加，而是对沈从文、福克纳小说意蕴比较阐释空间的拓展，是逻辑层面的深化。立足于后现代的、生态美学的视野，透视沈从文、福克纳小说中的本土文化，虽有重要意义，但仅止于此，毕竟还有点外在。由沈从文与福克纳的具体作品来看，其中的民间信仰、神话原型与本土文化之间的关联无疑更为内在，因此，由宗教学与神话原型批评维度予以审视，不仅会更为切合研究对象的实际，亦必会促进其对文化意蕴的把握。在这部改定的书稿中，读者可以看到的正是：在增补的两章中，作者的思考更为深邃了。如在第四章中，作者由宗教学视野出发，分析了沈从文心目中的“神”与福克纳心目中“上帝”之差异及其对作品的影响，认为沈从文心目中的“神”是“泛神论”意义的，即自然，即爱，即美，他笔下的人物与自然之美，即正是他所崇尚的这样一种“神性之光”的投射；福克纳心目中的“上帝”，则是西方宗教信仰中的造物主以及凌驾于人世之上的最高道德裁判者，故而与沈从文不同，福克纳在小说中，是以这样的“上帝”作为观照美国南方现实的镜子，着力思索的是人类道德的缺陷以及如何完善的问题。在第五章中，作者借助弗莱的神话原型理论指出：沈从文小说中的男主人公往往阳刚、俊美、智

慧，女主人公美丽、浪漫、忠贞、痴情，更多超凡脱俗的神性品格，呈现出的是一个如同弗莱所说的充满了明媚的青春气息和浪漫传奇色彩的神之诞生和恋爱的神话世界；福克纳笔下的男主人公则往往幻灭、逃避、凶残，女主人公则堕落、卑俗、丑陋，大多数角色已失去了神性生命的光环，呈现出的是一个如同弗莱所说的充满荒诞与混乱，神之解体与死亡的神话世界。作者的这类分析探讨，对于人们认识沈从文与福克纳小说的不同意蕴与价值，应当是更具启发意义的。

比较，是文学研究的重要方法之一，且基于此研究方法，早已形成了名之为“比较文学”的独立学科。但在不少出之于“比较”方法的研究成果中，常常可见以下两个方面的不足：一是止于比较，缺乏对人类文学活动的奥妙与规律的深入探讨；二是在比较时，容易出现此是彼非的绝对化，以偏概全的简单化等等。李萌羽的这部书稿，自然也还不能说是无可挑剔，有些问题也还有待于进一步完善，但可以感到，作者对上述可能出现的不足是清醒的，是在尽力避却的。在书稿中可以看到，她能够在比较的基础上，更为深入地探讨了沈从文与福克纳两位作家不同文化个性的生成原因，以及文化追求对他们创作的影响。她在经由比较指出两位作家不同的鲜明个性时，亦注意到了其复杂性。如她在指出福克纳笔下的死亡神话的同时，亦注意强调：福克纳毕竟对人类还是满怀信心和希望的，因此，在他的笔下，也不乏充满爱心的迪尔西（《喧哗与骚动》）、纯真的莉娜与善良的邦奇（《八月之光》）之类人物，从而使其小说像音乐的复调形式一样，在低沉、忧郁的基调中还回荡着神之复活的光明旋律。她既分析了两位作家的作品互不相同的文化取向，又注意到了中西文化某种不期而遇的汇合，

强调了他们忧虑人类共同危机的世界性意义。

阅读李萌羽历经多年修改而完成的这部书稿，进一步加深了她在攻读博士学位期间留给我的印象：勤奋、刻苦、执着。而这，正是一位学者走向成功的必备素质。愿以此与萌羽进一步共勉。

2009年4月26日

于山东师范大学

## Abstract (英文摘要)

The aim of this book is a comparative study of two influential modern writers in the twentieth century literary world — the Chinese writer Shen Congwen and the American writer William Faulkner — in multidimensional perspectives. Both of the writers set out from a particular region and gained world fame, with the former being nominated as a Nobel Prize candidate several times and the latter being a Nobel Prize winner. The book, consisting of five chapters, concentrates on an analysis of the two writers' novels from the following five dimensions: cultural heritage, postmodernity, ecological thought, religion, and mythological archetype criticism.

The first chapter focuses on an analysis of the strong attachments of Shen Congwen and Faulkner to their regions, as well as their evaluation of the values of their regional and national culture legacy. In regard to local culture heritage, Shen Congwen and Faulkner depict respectively the Chinese southern "Chu Wu culture" and the American "south culture". Both writers strongly identify themselves with their regional



cultural legacies. Shen Congwen is fascinated with the "Chu Wu Culture" in the west Hunan world, which is filled with pantheistic worship, romance and strong life color; he regards "Chu Wu Culture" as a vigorous cultural legacy that can emancipate individuals from various restrictions. Consequently, he attempts to revive the vigor of the "Chu Wu culture" by fighting against the stubborn "Han Ru culture" (a kind of orthodox Han culture which sets various limitations on personal freedom). Faulkner is enchanted with American "south culture"; he admires the elegant and romantic temperament in traditional aristocratic south culture, and reveres the pioneering, enterprising, firm and persistent personality of his ancestors in the old south. Both writers hold dialectical attitudes towards their local cultures. Shen Congwen criticizes the cruel and backward elements in "west Hunan world", even though he seems more infatuated with the "Chu Wu" culture, and believes it represents the perfect status of human civilization. It is the same case with Faulkner; on the one hand, he cherishes the moral principles embodied in American south culture such as "courage", "pride", "sympathy", "perseverance" and "sacrifice"; on the other hand, he recognizes the inhuman moral crisis hidden in the slavery-based south culture, and sharply criticizes the strict paternal system, the ostensible women moral value and racial discrimination in American south culture, and believes that these elements led to the

disaggregation of the south.

As far as national cultural heritage is concerned, Shen Congwen is strongly influenced by Chinese Taoism, and tends to look at humanity and nature in total harmony and in eternal inseparability. On the other hand, Faulkner holds a firm belief in individualism, which is the product of western culture, especially that of the American culture.

The literary ideal of Shen Congwen's novels is the pursuit and portrayal of harmony between human beings and nature. In his view, the relationship between human beings and nature is intimate and harmonious instead of being opposite and separate; most characters of his novels in "west Hunan world" are natural persons who have the personality of being simple-hearted, naive, and placid. In their daily lives, they follow the rhythm of nature, and have a harmonious relationship in family and sex by learning from the laws of nature. For Faulkner, on the other hand, individualism is the American heritage most cherished; he believes that human beings can be saved only by maintaining their individualistic personalities. Faulkner's individualistic view was greatly influenced by the American southern traditional culture, which placed great emphasis on the importance of individualism. In a sense, the aristocrats in Faulkner's novels are often depicted as individualistic heroes; even the people in the countryside in his works are independent

folk who insist on choosing their own ways of living.

Chapter two comprises an exploration of the novels of Shen Congwen and Faulkners from the perspective of postmodernity. Firstly, it illustrates the common anti-modernity attitude in the two writers' novels. Shen Congwen and Faulkner lived in a period when the industrial civilization had developed and invaded the old ways of living. However, the two writers not only kept alert eyes, but also held a critical attitude towards modern civilization. They keenly observed the depression of modern instrumentalism towards mankind and expressed their doubts and questions about modernity. Secondly, postmodernism asserts the deconstruction of authority and centralism, while in their works, Shen Congwen and Faulkners both showed their concern for people who lived in the fringe of society — “the Miao minority people” and “the black people” respectively. These people had long been ignored and prejudiced by the mainstream culture; nevertheless, Shen Congwen and Faulkner appealed for their rights by depicting their wretched fates, their ignored emotions and lives and their unique spiritual resources. Thirdly, one basic view of modernism is in opposition to hypostasis, believing that behind hypostasis lie unexpectedness, accident and uncertainty. The concepts of unexpectedness and uncertainty are outstanding features in the novels of the two writers. In Shen Congwen's works, there

is an atmosphere of predestination, unexpectedness and accident; in his novels, unexpected visitors frequently pay visits, leading to the reversion of fates of the characters. On the other hand, Faulkner's novels have a unique feature of uncertainty and his works show a kind of open characteristic by avoiding the imposition of an authoritative voice on their themes. Each character of Faulkner's novels is independent of control by the writer's thought; each utters his or her heterogeneous voice, which enables the themes of Faulkner's works to have the feature of ambiguity. Hence, unexpectedness and uncertainty are two distinctive features in the two writers' novels.

The third chapter focuses on an ecological criticism approach by analyzing ecological thought in the works of both Shen Congwen and Faulkner. In a broad sense, a comparison of ecological perspectives is made from three aspects: firstly, stressing the precious value of nature to human beings is the main idea of the ecological view. In both writers' works, we can feel deep feelings towards nature, including living creatures and non-living entities. Secondly, in regards to the ecology of society, Shen Congwen and Faulkner depict two opposing worlds, approving of the former world full of ecological harmony and detesting the latter world that is out of ecological balance. Furthermore, their novels reflect specific social status during the transitional period, and reveal that

because of the intrusion of social upheavals, war, and commercialization of civilization, the living status of both the Chinese and the American people deteriorated, and this period led to an unbalance of the ecology of society. Thirdly, the two writers show their particular concern for spiritual ecology. In the face of moral corruption of modern people, they endeavor to reconstruct ideal spiritual concepts. Particularly, Shen Congwen appeals for the natural, healthy, humane, courageous, vigorous and energetic personality, while Faulkner advocates the values of "sympathy, love, sacrifice, courage, and pride".

Chapter four focuses on the religious perspective. Religion is a particular representation of cultural values and beliefs, and different cultural backgrounds have nurtured the two writers' unique religious views. Shen Congwen's religious belief is deeply influenced by the pantheistic religion in "west Hunan culture". Divinity becomes a crucial term in his novels, serving as the goal of his literary ideal. According to the "Chu Wu Culture", everything in nature, including trees, rocks and caves have divinity, and people can communicate with various deities in spirit by performing religious rites. In this way, they establish an equal relationship of mutual love and joviality with all the deities they worship. This religious belief enables the west Hunan people to maintain good balance in their emotions in their daily

lives. On the other hand, Faulkner identifies himself strongly with Christianity; he regards God as the creator of the world, of human beings and of nature, acting as the judge of goodness and evil in the world, and serving as the incarnation of love, sympathy, sacrifice and endurance. Therefore the concept of God (sometimes being referred to as 'He') has a significance in Faulkner's literary world similar to the term "divinity" in Shen Congwen's novels. However, Faulkner deprecates sharply the particular denomination of Calvinism in the south, regarding it as a kind of 'stiff' religion that puts God and human beings in an adversarial relationship, ruthlessly suppressing the life of the individual.

Chapter five concentrates on the dimension of archetypal criticism. "West Hunan world" and "Yoknapatawpha County" can also be interpreted as mythological systems which have unique symbolic and metaphoric connotations within them. According to Northrop Frye's theory of archetypal criticism, the intrinsic element of literature is myth, and myth is a kind of symbolic archetype of God. Literature depicts the different stages of the story of God's birth, adventures, suffering, victory and resurrection. Consequently, God has been turned into the various characters in literary works. In a sense, Shen Congwen's novels mainly focus on the depiction of God's birth and love. "West Hunan world" provides us with a large number of ardent and romantic love stories in which the main

characters are God-like and angel-like young men who possess remarkable beauty and virtue. Therefore, Shen Congwen's novels are a kind of myth of God's love, while Faulkner's "Yoknapatawpha county" novels focus more on the portrayal of God's desegregation and death. In contrast to the poetic, lyric atmosphere of Shen Congwen's novels that portray naive, romantic love stories, the "Yoknapatawpha world" is full of "sound and fury". Faulkner's novels remind us of waste land of love depicted by the famous modern poet T. S. Elliot. The characters in Faulkner's novels have lost their abilities to love; the relationships among people are twisted and abnormal. In short, most heroes and heroines in Faulkner's novels have lost the glamour of God and have gone in the opposite direction by degrading themselves either in body and spirit. Thus, in this sense, Faulkner's novels are the myths of "the disaggregation of God".

Finally, the research makes a conclusive remark: As great literary masters of the twentieth century, the two writers set off from their particular regions and became world-famous by illustrating the unique Chinese and American local and national culture resources. Despite the above differences derived from their different cultural backgrounds, the two writers showed their common humanistic concerns by castigating various alienating forces that suppress individuals' freedom, criticizing

the selfishness, falsehood, abjection, apathy and degeneration found in human nature. Meanwhile, they spoke highly of the freedom and equality of mankind. In short, the appeal for simplicity, austerity, and naivety of natural beings in Shen Congwen's novels, and the proposal of courage, sympathy, perseverance and sacrifice in Faulkner's works, have provided the world with invaluable spiritual resources.



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