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THE LITERARINESS OF "DOKTOR ŽIVAGO": THE ROLE OF PEIRCE'S INTERPRETANT AND WITTGENSTEIN'S "SHADOW"

Starting-point is Peirce's distinction of a sign as consisting of a representamen, its meaning and its interpretant. The latter renders a general idea concerning the object to which the sign refers rather than indicating its exact meaning. (see Peirce 1960, 1.339) In that quality it expresses one (or more) connotations rather than an exact denotation. Therefore, the interpretant of a sign /a/ always has a certain negative value because it refers to a meaning "minus a". Its essential function resides in the fact that it always impels the perceiver, as it were, to trigger from it an answer to the question concerning the exact nature of the object under discussion.¹

Actually the interpretant of a verbal sign plays a key role for the analysis of literary works. In this regard the observation that the interpretant of a sign is the instance which guarantees the validity of the sign is of interest. (Eco 1976, 68) It has convincingly been demonstrated in this regard that the visualization of a narrator plays a key role as it is linked up with the development of indirect speech in literature. (Frejdenberg 1978 [1945]) The interpretant-value of a statement made in indirect speech manifests itself in the fact that by the introduction of an internal speaker the question about the reliability of that message is explicitly brought up; in a message without such a speaker this is not the case. Thus, otherwise than in the statement "John went to Paris", by the statement "John said that he would go to Paris" both the possibilities that John actually did go to Paris and that he didn't may have been realized. The interpretant-function of "John" resides, in this case, in the fact that he may correctly be associated with "Paris" or not. In other words, "John", with the sign-function /a/, may either refer to the meaning "a" ("the man who goes to Paris") or "minus a." ("the man who does not go to Paris")

As far as literature is concerned direct rather than indirect speech presupposes a physically present narrator who is held responsible for his own words. The presence of such a narrator implies that the problem of the reliability of his words is not brought up. It has correctly been observed in this regard that the opposition between truth and fiction in Greek literature is linked up with that between oral and written speech. (Rösler 1980) The Homeric epos, which is an oral genre, consequently originates from the time at which a consistent opposition between

truth and fiction in literature was hardly made. Any poet was supposed to tell the truth. However, the invention of script implied that the reliability of literary works began to be questioned because the singer who could be held responsible for the contents of epic works had been replaced by an internal narrator, i.e. a person who is, partly, at least, operative within the framework of the narrative himself. (Rösler 1980, 315) In other words, the problem of the reliability of a literary work becomes to play a role as soon as the direct deixis marking the epos is replaced by deictic words, launched by an internal narrator. The latter is, otherwise than the epic singer, unable to direct the audience toward a correct identification of the work. Rather have his words an *Appellfunktion* (as Bühler calls it), as they only orient the reader during the reading-process. (see Schmid 1982, 105) In other words, the literary character of a statement containing a message uttered in indirect speech ("John said that he would go to Paris") resides in the fact that three distinctive features are combined in it in a hierarchical manner. First of all, it contains a message in verbal signs presenting a situation, with a purely figurative character. In this situation John and Paris play a role. Secondly, this message has a deictic function as it is made by a visualized, internal, speaker who question its validity. Thirdly, not only the content of a framed message, bearing a figurative character, is conveyed to the perceiver, nor its reliability (or validity), but also the *consciousness* that this *is* a verbal message. This consciousness is effectuated by means of an analogy.

This can be explained by a reference to Heraclitus' famous fragment 79. There the latter explains that the idea of "divinity" which can, in principle, not be grasped by human mind, may be imagined by the use of a geometrical mean. Thus, the statement "Man is stamped as infantile by divinity, just as the child is by man" can schematically be presented as follows:

$$\begin{array}{ccccccc} \text{child} & : & & \text{man} & = & & \text{man} & : & & \text{god.} \\ (a) & & & (b) & & & (b) & & & (c) \end{array}$$

By this formula the philosopher presents the idea of "perfection" as gradually developing; when the formula is read from left to right the degree of perfection increases, in the reverse case it decreases. (Fränkel 1938, 314) What is essential here is that "man" has a double function; not only has he a clearly figurative character in the first equation, but he has a deictic function too, in the second equation. There he serves as a starting point for the realization of an abstract notion of something which could otherwise not be grasped by the human mind. ("the divine") In other words, the deictic function of "man" resides in the fact that he serves as a geometrical mean, which the concept "child" does not. Thus the interpretant-character of "man" is emphasized.

It will be seen that this function of analogies is particularly illustrative of Pasternak's works. It has been observed that in the latter's view a concept can only be realized when its opposite term is taken as the starting-point; thus the finite, the humble leads to the majestic, the infinite. (Terras 1967, 50 and 31 and 32)

To return to indirect speech as the distinctive feature of narration which results from conceptual thinking, it is evident that the internal speaker has the function of a geometrical mean in Heraclitus' definition there. For instance, in the statement "John said that he would go to Paris" "John" has a double role, that of the object of the external speaker's message and that of the subject of an own statement containing the message that he will go to Paris. In the first case he has a figurative character only, in the second case he *moreover* has a deictic function. This statement can be presented in the form of a formula as follows:

a	b1	=	b2	c
0 :	John1	=	John2 :	complete
[mere indication	(internal		(internal	message
of external	speaker)		speaker)	(including
speaker]				consciousness
				on perceiver's
				part)
<u>quality:</u>				
bears a	figurative		figurative	figurative
potential value	character		character	character
as it indicates			plus deixis	plus deixis
an instance				plus
which is able				perceiver's
to do an				consciousness
utterance				

In this equation "a" has zero-value because it has a mere potential value; it marks the starting-point of the message indicating the presence of an external speaker by doing so. "b" has been split into "b 1" and "b 2" because, although both indicate "John", they are not identical as to their function. "b 1" has a mere figurative character as it marks the figure *about* whom something is being said. "b 2", however has both a figurative character and a deictic function as it both indicates the person *about* whom something is said and informs that he serves as the starting-point of a message; in other words, "John 1" and "John 2" are analogical to rather than identical with each other.² "C" has a figurative character because it comprises the content of the framed message ("John went to Paris"); it has a deictic value because it brings up the question of the validity of that message

emphasizing that it originates from John. By doing so it imparts to the perceiver the consciousness that this is a verbal message as it at last approximately visualizes an external speaker ("everybody minus John"). The hierarchical character of the relationships expressed in the equations manifests itself in the fact that *c* has a framing function for *a*, *b* 1 and *b* 2.

W. Schmid has presented a scheme for the presentation of a literary work determined by a strict hierarchy although he hardly pays attention to the fact that it should be based on the assumption of relationships of analogy between the constituent parts in order to be effective. (Schmid 1982) Thus in his argumentation, based on a distinction between a "fabula" and a "sujet", the framing *Präsentation der Erzählung* presupposes an *Erzählung* ("sujet"), which implies a *Geschichte* ("fabula"), which in its turn implies a *Geschehen*. Whereas the *Geschehen* consists of all elements constituting the raw-material of the literary work, in the *Geschichte* these elements are presented, by a procedure of selection, in what the classical rhetoricians called the *ordo naturalis*. In the *Erzählung* they are presented, by a procedure of combination, in their *ordo artificialis*. The *Präsentation der Erzählung* implies in its turn an *Erzählgeschichte* which implies an *Erzählgeschehen*. (Schmid 1982, 98)

The above-mentioned consciousness on the part of the perceiver of the verbal message that he reads a literary text can be expressed in terms of Schmid's definition of the "code" of a work. In Schmid's view the procedures by which the elements from the *Geschehen*, which still bear a potential character, are transformed into the *Präsentation der Geschichte* are to be compared to a code which makes a sign out of a seemingly incoherent multiplicity of elements. Otherwise than other codes this code is not given beforehand, but has to be unriddled in the literary work itself. (*idem*, 106) In other words, the code of a literary work, as defined by Schmid, effectuates the above-mentioned consciousness on the part of the reader that he reads a literary work. By doing so the latter learns the code. It is the final result of the above-mentioned transformation-process as it confirms the hierarchical construction of a work from a stock of potential literary elements towards a realized *text*, consisting of verbal signs which are not only consciously used by a producer, but which can be correctly be identified by a perceiver (i.e. a reader) as well.

Reference should again be made to the above-mentioned hierarchical scheme according to which a literary work comes about as the result of a transformation from a stock of elements with a potential character towards a unit marked by a figurative character, a deictic function, and the quality that it triggers in the perceiver the consciousness that he reads a verbal text. In other words, the parallel scheme of Schmid would look as follows:

a	:	b1	=	b2	:	c
Geschehen der		Geschichte		Erzählung		Präsentation
						Erzählung
		("fabula")		("fabula", "sujet")		("fabula", "sujet", "code")

The purely figurative character of the fable in Schmid's definition is evident as the *fabula*, which it is not given on the linguistic level of the text, has to be *reconstructed* from that text in order that its constituent elements can be given in their *ordo naturalis*. It consequently has no deictic function as explained above.³ The analogy in the scheme manifests itself in the fact that by b 1 and b 2 contain the *same* events, actions, motifs, persons and objects are presented, but that only b 2 testifies that they are operative in a *text*. This implies that they are operative in a narrative, and should serve as a starting-point in a development, i.e. a temporally determined reading-process, and should, therefore, contain the necessary clues for the reader to unriddle the above-mentioned *code* of the work.⁴

Wittgenstein has illustrated the interpretant character of a sign (although he neither directly mentions Peirce by name nor refers to his terminology) by his definition of what he calls a *Schatten*. This has, in the English version of his works rendered by "sense of a sentence", or "proposition." (Wittgenstein 1970, 58 fn.; I will literally translate it by "shadow") It should be added that a "shadow" in Wittgenstein's definition takes something like an intermediate position between what Peirce calls the meaning of a sign and its interpretant because the first does not make, contrary to Peirce, a consistent distinction between them.⁵ Wittgenstein introduces the idea that the terms indicating the elements similar to the geometrical mean (b 1 and b 2) are analogous to rather than identical with each other, their difference lying in the fact that one of them is temporally determined whereas the other is not. The latter has a deictic function.

He demonstrates this by a melody which a person knows by heart. If this is played and its performance is suddenly interrupted, somebody might ask: "Do you know how it goes on?" Consequently the addressee might answer: "Yes." Actually one should not confuse this knowledge of the melody with the concrete *existence* of the melody at the moment the above-mentioned process of execution was interrupted. Accordingly it would be an error to confuse the existence of a gramophone-record of a melody with that melody itself. (*idem*, 69) Thus the concept "to know a melody by heart" functions as the shadow of that melody. It enables us to recognize the melody being played as being that on the record. In

terms of Heraclitus' analogy the relationship between the above-mentioned concept and its concrete realization could be presented as follows:

0	:	melody	=	melody	:	realization
a		b1		b2		c
[potential		figurative		figurative,		figurative,
existence		(melody)		deictic		deictic,
of melodies				(record,		perceiver's
and				with melody		consciousness
records]				on it)		of
						melody on
						record

"a" again functions as the starting-point of the as yet unrealized situation in which a record is played of a particular melody. B 1 has a purely figurative character; it presents the melody. B 2 has both a figurative character and a deictic function which is evident from the fact that it illustrates the notion of "knowing how a melody goes on." Thus it contains the *whole* of a melody, or piece of music, and, consequently, knows it from the beginning to the end. Its deictic function manifests itself in the fact that its connotation ("melody") rather than its denotation ("record") is essential. Its function as a shadow of the melody resides in the fact that it is spatially determined ("a black thing") whereas the melody itself which one sings, plays or listens to is temporally determined. In the same way an still unread book "knows what it deals with" as it contains all elements, figurative and deictic, necessary for the reader to complete the reading process and unriddle its code. Having done so, the latter may reconstruct the fabula. In so far the unread book is spatially determined exactly as a record is, because it contains a "sujet" which can have been written by an omniscient external author only; the latter, having placed the events in their natural order for himself *first*, overseeing them well, then places them in their *artificial* order. In c the figurative character and the deictic function of a particular impulse a perceiver has got are combined, resulting in the consciousness enabling him to interpret this impulse correctly. Thus he hears a melody, sees a record, and concludes that the melody he hears is the same as that on the record.

The uniqueness of Pasternak's novel "Doctor Živago" does not merely reside in the circumstance that it deals with the problem of writing. Many other novelists in world-literature have dealt with it. The novel's particular character does not reside in the fact that poems have been added to the narrative. However, it is unique that these poems form the final term in a chain of terms between which a relationship of analogy exists; in formula-form:

a	:	b1	=	b2	:	c
0		events told in narrative prose text		narrative prose text		poems

In other words, in accordance with Heraclitus' definition of an analogy, the notion of "literariness" increases when the equation with the geometrical mean is read from the left to the right and decreases when it is read from the right to the left.⁶ The poems combine a figurative character with a deictic function, thus evoking in the reader the consciousness that he is reading a literary text. Heraclitus' scheme for the indication of analogies in which the geometrical mean is applicable to the protagonist in the novel; the formula runs as follows then:

a	:	b	=	b	:	c
0		Jurij 1		Jurij 2		poems

"a" again serves as the starting-point of the book as a whole. "Jurij 1" stands for the purely figurative character of the protagonist as he is operative in the plot in his function of a doctor although reference is made to his literary, particularly his poetic, qualities. See the passage in 3, 2 in which an announcement is, as it were, made to the reader about the nature of the book he has under his hands: "Jura thought well and wrote even better. Ever since his school-days he had dreamed of writing a book in prose, a book of impressions of life in which he would conceal, like buried sticks of dynamite, the most striking things he had so far seen and thought about. But for such a book he was still too young; he wrote poetry instead, like a painter would spend his life making sketches for a big picture he had in mind."⁷ In other words, reference is made to and background-information is given concerning his poems, but not the concrete results of these poetic activities.

Actually the analogy between Jurij 1 (whose figurative character is emphasized) and Jurij 2 (whose figurative character and deictic function are equally important) is confirmed by Pasternak's conception of poetry. Starting-point for him is that in his works poetry rather than the poet stands central. (Erllich 1964, 153, Muchnic 1961)⁸ As the narrator himself words it: "(At moments of inspiration) the ascendancy is not with the artist or the state of his soul which he is trying to express, but with language, his instrument of expression." (448) "Jurij 2" therefore, stands for the "I" in Pasternak's poetry and prose, who has that pantheistic quality in so far as he does not act on his own but rather in cooperation with *all* other elements of the heterogeneous universe. (Erllich 1964, 136) Actually in Pasternak's works elements of Kant's and Schelling's philosophy are combined. The observation that Pasternak's aesthetic is close to Romantic

rather than to Neokantian aesthetics because his view of poetic symbolism clearly bears the mark of Schelling's "philosophy of identification" (*Identitätsphilosophie*). (see Terras 1967, 44, 51) Pasternak's pantheistic conception of the world is in perfect agreement with this philosophy as it combines the individual and society, the general line and the detail, the finite and the infinite.⁹

The observation made concerning Pasternak's collection of poems entitled "My sister-life" according to which the poet splits his self into an individual component with an explicitly figurative character and a generalized one linking the first with the universe (Muchnic 1961, 382 n.) is also of interest in this regard. The influence of the philosophy of identity in Pasternak's works thus becomes evident as the latter makes use of the procedure of duplication by which, in Schelling's view, the identity of all phenomena of life is brought about. In other words, in the equation $a = b$ by "a" the protagonist is indicated as he figures in the plot, and by "b" his environment with which he stands in an immediate contact, or, in Schelling's terms, with which he identifies himself, according to a pantheistic principle. By the use of the sign "+" (indicating the Schellingian "overweight") the procedure of reduplication is visualized. By "+a" it is indicated that the emphasis lies on the *person* of the poet, by "+b" that it lies on his own literary productions.

The principle dominating Schellings aesthetics of identity as it is operative in Pasternak's "Doctor Živago" can be expressed in terms of Heraclitus' geometrical mean (according to which an abstract idea is rendered by means of an analogy) in the following way:

0	:	Jurij 1	=	Jurij 2	:	Jurij's works
		man		<i>indication</i>		text of poems
				of Jurij's work		
		(figurative		(figurative		(figurative
		character)		character,		character,
				deictic		deictic
				function)		function, reader's
						consciousness of their
						being a <i>literary</i> work.)

In Schelling's scheme:

"a" in	"b" in	identification
Schelling's	Schelling's	as expressed
equation	equation	by
$a = b$	$a = +b$ (in	duplication

which	in $+a = b$
b presupposes	and
a)	$a = + b$

" $+a$ " indicates that the figurative character of the described person (as he is operative in the plot) is stressed. " $+b$ " indicates that his deictic function as a potential poet is stressed, although these poems themselves are not included in the prose-text. However, some concrete results of the hero's, literary, non-poetic, activities are given. The inserted diary-fragments of the hero as well as the quotations from folk-songs are particularly illustrative in this regard.

Let us consider some examples of these instances in which the autonomous, literary function of the hero, manifesting itself in his poems, is still made subject to his figurative character in the plot. Particular attention should be paid to those literary works which have a clear interpretant-value in Peirce's definition. There are three representative types of such works:

1. poems allegedly written by the protagonist which are only indicated, but not included as parts of the novel. (see the distinction made in Rowland and Rowland 1967, 16, 215 between "lived" and "written" poems)
2. texts allegedly written by the protagonist but which are no poems,
3. poems allegedly written by other persons as well as folk-songs included in the narrative,
4. indications of other literary works.

It is evident that the interpretant-value of these works manifests itself in their negative value; they are either "non-poems" by Živago (the texts under 2.), and, when there are poems among them, they are not written by the protagonist. (the texts under 3)

The works mentioned under 1., i.e. the "lived" poems are of interest primarily as they suggest the protagonist's vitality by summarizing his most important experiences. Thus at the conclusion of chapter 3, 17 Jurij thinks about the poem he will write in memory of the just deceased Anna Gromeko. The poem remains unwritten, but the figurative character of the background against which it is placed is presented clearly in terms of modeled space and time. Thus it is reported that after the burial "Jura walked on alone *quickly, ahead of the others, stopping occasionally* to let them catch up with him ... *At this moment*, more than ever, it was clear to him that art always has two unending preoccupations. It relentlessly meditates upon death and, by doing so, relentlessly generates life. ... Jura joyfully anticipated the *day or two* he would disappear from the university and his home and would put in his lines in memory of Anna Ivanovna everything which came to his mind *at that moment* i.e. all random things which life would shove to him: a few of the deceased person's best characteristics, the image of Tonja in mourning, some observations of incidents in the street on the way back

from the graveyard, and the washing hanging in the place where once long ago in the night the snow-storm had wailed and he had wept as a little child." (91; it. mine, PMW) In this passage the deictic function of the poem *Živago* intends to write but which is never written is expressed by the motifs in the modeled time (*Erzählte Zeit*) as well as indications in the narrated time. (*Erzählzeit*; for definitions of these two kinds of time see Müller 1948) As far as the modeled time is concerned: Jurij intends to restrict himself in the description of the scenes in the poem to those which come to his mind *at the moment after the burial*. These scenes are limited in modeled *space* too as he will only describe what he remembers and sees in the street. This spatial limitation consequently supersedes a possible temporal extension which might result in a detailed description of past events. Thus the memory of the night after Jurij's mother's death during which the latter wept is prompted by the circumstance that in that same place washing is hanging at the moment he passes it after the burial. As far as the narrated time (*Erzählzeit*) is concerned, the external narrator completes the third chapter with this decision by Jurij to summarize in a poem the events which took place in his life thus far. In other words, the coincidence of modeled time and narrative time manifests itself in the circumstance that with the death of Anna a new chapter begins both in the novel (narrative time) and in the hero's life (in modeled time).

The above-mentioned deictic function of the poem also manifests itself as it indicates the protagonist's vitality and determines his attitude towards art. This is particularly clear in his thoughts, prompted by the burial, concerning art as the link between death and life. In terms of analogy, art in Jurij's conception, can be considered the geometrical mean between life and death both of which can only be grasped by human mind when they are expressed in formula-form:

$$\begin{array}{ccccccc}
 a & : & b & = & b & : & c \\
 \text{death} & & \text{art} & & \text{art} & & \text{life} \\
 & & \text{(associated,} & & & & \\
 & & \text{in the case} & & & & \\
 & & \text{of Jurij, with} & & & & \\
 & & \text{vitality)} & & & &
 \end{array}$$

In accordance with Heraclitus' earlier-mentioned observation it is evident that the notion of the concept "life" increases when the formula is read from left to right and decreases when the opposite is the case.

The "non-poem" "Turmoil" (*Smjatenie*) is also illustrative in this regard. Jurij dreams that he writes it during his serious attack of typhus. Reference is made to the poem in the prose-text but it is not included in the poems included in the novel. Although it is non-existent as a text it is framed by deictic motifs expressing the idea of "vitality." First of all: the concepts of life and death stand

central and the poem, i.e. a work of art, serves as a means to link these two opposite concepts. This is even expressed literally as far as modeled time is concerned: "He neither wrote a poem on the resurrection nor on the entombment, but rather on the days *between*; he wrote the poem 'Turmoil'." (211; it. mine, PMW)

The above-mentioned intermediary-function of art between life and death is personified in Jurij's step-brother Evgraf. The latter is his double in all respects in so far as he sustains his essential vitality both literally and figuratively. Thus he keeps him alive during the hardships of revolution and civil-war by appearing regularly out of the blue, as a *deus ex machina*, with stocks of food and fuel. But he supports Živago's abilities as a writer too of which his name "Evgraf" (Greek *eu-grafos*) bears testimony. (see Rowland and Rowland 1967, 108) In the period during which Jurij dreams about the above-mentioned poem "Turmoil" Evgraf brings bread, butter, sugar, tea, coffee which help Jurij's recovery along. But his vitalizing function in the figurative sense is of even more interest as it demonstrates that Evgraf represents art. (which in its turn serves as the geometrical mean between death and life) Thus Jurij is reported to dream during his illness that he "writes ardently and with an unusually success what he had always wanted to write and should have written long ago but never could. ... Only now and then a boy got in his way ... It was perfectly clear that this boy was the spirit of his death, or, simply, his death. But how could he be his death if he was helping him to write his poem? Could death be useful, could death be helpful?" (*ibidem*) Only when he wakes up from his deliriums he is informed that "the boy stepping in his way" he saw is, in reality, his half-brother. Thus Evgraf represents, on the one hand, death, but also art as he helps the protagonist to write, thus enabling him to cross the border between death and life. The primarily indexical function of the poem appears from the fact that only a few fragments of it are preserved, i.e. the title ("Turmoil") and two lines ("We are glad to touch you" and "you should get up"). It is, of course, no accident that exactly these two lines remain in the protagonist's memory as they emphasize the motif of vitality which is expressed not in the result of a poetic activity, but rather in the figurative character of a literary figure (Evgraf) who "infects" his ill step-brother (Jurij) with vitality in order that he may recover. In other words, for the moment being the purely figurative character of the alleged author of the poem supersedes his indexical function as the writer of autonomous poetic texts which are *not* inserted into the prose-text.

As far as the texts mentioned under 2. are concerned, Živago's posthumous notes contain observations concerning the essential function of art too. The themes of life and vitality are again treated in them. This time "vitality" is associated with the city; see: "The *living, lively* established language which naturally falls in with the spirit of the *present* time is the language of urbanism. I

live over a busy metropolitan crossing. The sunny Moscow, blinded by the sun ... which *breathes* flowering clouds and streets, whirls around me and requires that I should in my turn make the heads of others whirl in honour of her." (508; it. mine, PMW) The idea of the identity of man with his environment as it is worded in terms of Schelling's philosophy of identity forces itself on the readers of these lines. Art again serves as a means to attain the realization of this all-embracing vitalism, or, as the geometrical mean between life and death. Accordingly Živago concludes his notes with the words: "The city which rustles and roars incessantly and uninterruptedly behind the doors and windows is an immeasurably large introduction into the *life* for each of us." (*idem*, 501) The interpretant-value of the content of the concluding lines of section 15, 11 appears from the circumstance that the narrator reports that poems written in this vein were *not* found in Živago's notes, adding, however, the significant comment: "Perhaps did the poem 'Hamlet' belong to this category?" (*ibidem*) The concluding remark confirms this deictic character as it is worded in the form of a question. (In Waszink (*to appear*) I have paid somewhat more attention to the phenomenon that by questions and negative statements rather than affirmative clauses the interpretant-value of a statement is expressed)

In this section 15, 11 a coincidence of modeled and narrative time is again visible. It was observed that the motifs "life", "city" (particularly "Moscow"), and "art" stand central in it. With all of these Živago's poem "Hamlet" is presented as being loosely connected; this is evident from the observation which is made about it in the form of a question. The reader's attention is gradually drawn from the city to the subject-matter of this poem by the image of the city as being connected with the soul as a beginning overture is with a curtain in a theatre beginning to crimson in the floodlights.¹⁰ Actually this poem "Hamlet" is the *last* poem by Živago which is brought up within the framework of the prose-text. Then, in the last section (16,5) of the prose-text it is reported that the protagonist's bosom-friends, Dudorov and Gordon, are reading a compilation of Jurij's works, made by Evgraf. Consequently, the latter functions here as the hero's double again. Actually in the last section the same motifs of "life", "art" and "city" are predominant. As to the spatial setting, Gordon and Dudorov are sitting by an opened window, somewhere, high above Moscow, on a quiet summer evening. The motif of "life" is expressed in the two friends' feeling of "a peaceful joy for this holy city and the whole earth, for the participants of this history *which had lived to see this evening as well as for their children*." (531; it. mine, PMW) The motif of "art" is present in the form of Evgraf's compilation of Živago's writings; the concluding line of the novel is illustrative of vitality in this regard: "The small book in their hands seemed to know all this and gave them support and confirmation." (*ibidem*)

This last sentence testifies that the book should be considered a guide for the living rather than a monument of the deceased. In other words: it is emphasized that, although the prose-text is finished, its modeled time continues; as the result of the protagonist's literary activities it will be fruitful for all future generations. This remaining character of Jurij's life and work is expressed in the narrative time too; the last chapter of the prose text is *not* the last chapter of the book as a whole. This is followed by another chapter containing a selection of exactly those works from which Jurij derives his immortality. Actually these poems may also have been inserted in Evgraf's compilation of Jurij's works the two friends are reading. Reference should be made again to the earlier-mentioned passage in section 12,11. There the image of the dark curtain glowing up in the light of the floodlights is used. (see n. 10) In the concluding section 16,11 the opposite motifs of dark and light are equally found. First it is reported that Gordon and Dudorov had already read Jurij's book many times and knew half of it by heart. Then: "When they were in the middle of reading, it grew dark and they had difficulty to make out the print, they had to light a lamp." (530) As a result of switching on the light the real world around the literary figures and the content of the book to which reference is made seem to change places; see: "Moscow [which the two literary figures overlook from the opened window, PMW] now seemed to them not the place of these events, but the heroine of a long story *the end of which they were now approaching*, at that evening, with *the book in their hands*," (530) In these words the above-mentioned coincidence of modeled and narrated time becomes again operative. In this reality, in which the real world (Moscow as a spatial unit) has been replaced by a literary image (Moscow as the heroine of a book) it is suggested that real men are accordingly replaced by fancy-figures, like, for instance, Hamlet mentioned in chapter 12,11. Summarizing, the figure of Hamlet who serves as an indicator that the process of the completion of the prose-text has begun (as he is the subject of the last of Živago's poems mentioned in the prose-text) at the same time functions as a pivot on which the transition from the prose-text to the poetic text hinges. Reference should again be made to Hamlet's interpretant-function, as he does not occur, in chapter 15, 1, in an affirmative but an interrogative sentence. ("Perhaps did the poem "Hamlet" belong to them?") This interpretant-function is also evident in the scene in the theatre (see n. 10) There to Hamlet's possible presence is not even alluded. We are only introduced into a theater where a theatre-figure like he may be operative. But we do not see any figure as yet at all: the scene is described from the viewpoint of the spectator who sees closed curtains only.

In the poem "Hamlet", opening the last chapter, however, the point of view is reversed; the scene is described from the viewpoint of the hero who does not see anything in the auditorium as he stands in the floodlights *himself*. ("Upon me the darkness of night is focussed/ through thousand opera-glasses") (532) This

reversal of the point of view is temporally determined in the earlier-mentioned image of the street serving as an introduction to life. This image is valid for a spectator who is *waiting* for the curtain to be drawn. The modeled time of the poem agrees with this moment; the plot of the play "Hamlet", described in the poem, is supposed to begin at the moment the curtain will have been drawn; see: "The hum has died down. *I have come out on the stage.*" (etc.) (*ibidem*; it. mine, PMW) The reversal of the viewpoint is expressed in the narrative time too; the above-mentioned lines are the opening-lines of the poem. Running parallel to the reversed viewpoint as it does, the theme of the poem is opposed to that of the prose-text. Whereas in the scene in chapter 15,¹¹ (in the prose-text) the motif of "vitality" is emphasized, in the poem the motif of weariness of life plays a key-role. Thus the lines "on me the darkness of night is focussed ... " (etc.) is followed by the appeal: "If only it be possible, Abba Father,/ let this cup pass from me." (*ibidem*) The concluding lines bear particular testimony of this dislike of life, repeating as they do a Russian proverb: "To go through life is not the same as to cross a field." (*ibidem*)

From this poem it is evident that, whereas in the earlier mentioned examples in which the "unwritten" poems had an indexical function for Jurij's vitality, in the "written" ones a reverse development takes place, i.e. from life to death. Reference should be made to the motif of "weariness of life" prevailing in the lines. In other words, here the personage (either the historical Hamlet or the actor) makes a movement away from life, or, he moves toward death.

However, before discussing more poems in detail we have to pay attention to those texts by the hero which are inserted into the prose-texts which consequently have a deictic function, that means, his non-poetic texts. (mentioned under 2) The most important non-poetic text by the protagonist himself is his diary which he keeps during the winter after he and his family have safely arrived at Varykino. Reference should be made again to the hierarchy of the frames indicating the relationship of the external and the internal narrator. The text looks as follows: "Chapter Nine: Varykino"

1.

In winter, when he had more time, Jurij Andrejevič began to keep a diary. He started to write for himself: 'What a summer, what a summer!/ This is magic indeed,/ and how, I ask you, did this come to us,/ without our doing anything for it?' What a luck to work for yourself and your family and your family from dawn to dusk, ... " (286)

The hierarchy of the frames indicating the relationship of modeled and narrative time is presented in the following manner. First the chapter-number, with a function in narrative time, thus indicating the external narrator, is mentioned, ("chapter nine"). Then a spatial marker with an explicit function in modeled time, thus bearing a figurative character, is presented ("Varykino"). With this

information the framing text of the chapter-heading ends. The framed text begins with the indication of a temporal marker operative in modeled time ("In winter"). Then the protagonist and his activities ("Živago starting a diary") are introduced; thus a new frame is inserted which is of interest in narrative time. The introduction of this extra-frame implies an extra-emphasis on the literary character of the described events in the form of an extra-warning to the reader that he reads a literary text, which is marked, as was explained earlier, by the presence of an internal narrator who presupposes, in his turn, an external author.

The extra-frames are of interest for the expression of the interpretant-character of the different motifs in the text. Thus the chapter-indication ("Varykino") suggests that the protagonist's idyllic family-life will take place here. But this idyllic scene has an interpretant-value only as it is presented within the framework of the doctor's diary which he keeps in winter-time, when he does not leave Varykino. However, as soon as Jurij's diary breaks off, during the spring, the plot is spatially replaced to Jurjatin where he begins to spend most of his time with Lara. This consequently means the end of the idyllic family-life; the transition from section 9,9 to section 9,10 is relevant in this regard; see: "At this point the notes of Jurij Andreevič broke off. He did not take them up again.

10.

Jurij Andreevič looked through the books he had taken out in the reading-room of the public library at *Jurjatin*." (297; it. mine, PMW)

In Varykino the doctor does not feel at home any more, both literally and figuratively. Again, as soon as the plot-text framing that of the inserted diary-notes is resumed it appears to deal with events *not* taking place in Varykino. The role of the frame in literary texts is particular clear in the texts mentioned under 3., i.e. the inserted poetic texts originating from other sources. The Tjutčev-poem is particular interesting in this regard as it is inserted in the diary-text which in its turn is included in the larger plot-text. The important role played by intertextual relationships for the suggestion of the literariness of a text has been demonstrated in several studies. (see note 4, as well as Riffaterre 1979a and 1980) It has correctly been observed that the suggestion of literariness is mainly reached by these relationships as the original quoted text and that one toward it is transferred mutually activate each other. (Ben-Porat 1976) The mutual activation of the embedding diary-text and the model-text by Tjutčev manifests itself as both texts, though both expressing the theme "expiring summer", stand in contrast rather than that they agree with each other. In the diary-text framing the Tjutčev-poem it is reported that Jurij starts keeping his diary in *wintertime*. The quotation of that poem, however, contains an eulogy to the *summer*. The summer is the cause of the latter's jubilant mood. The difference between the attitudes of the two poets, Tjutčev and Živago, consists in the fact that the first regards, in the romantic manner, the riches of the summer as mere gifts for which man needs not do

anything, whereas the latter, in the framing text, emphasizes that it is blessing to man when he is able to use his physical strength, modeling, by doing so, his own world in imitation of the Creator. In this case Tjutčev's world-view reflects the typically romantic idea as it was expressed, among others, by Schelling, that the self is modeled after outside reality, whereas Živago's world-view is rather Kantian as his starting-point apparently is that man models his surrounding reality after his own self. (this problem has been discussed in more detail in Waszink *to appear*).¹¹

In other words, in this confrontation of the romantic atmosphere of the framed Tjutčev-poem and the Kantian atmosphere of the framing text in Živago's diary the deictic function of this framing text manifests itself.

The thematically opposite character of the inserted poem and the framing diary-text also appears from Jurij's observation that for him and his family the summer was all but a pleasant time, as it is in Tjutčev's lines; see: "At the beginning, during the spring and the summer, we had a very hard time. We strained ourselves to the utmost. Now, during the winter evenings, we relax." (289) It was observed above, in the discussion of Jurij's so-called "unwritten poems", that the motif of "writing" is associated with that of "death." This manifests itself also here as "death" is in its turn associated with "winter." The winter with its killing effect impels the poet to muse about that past for which he had no time during the summer which was filled with activity of a primary kind. The winter, however, he fills with that activity which is appropriate for a poet, that is, with writing. It was observed above that this activity is associated in a special way with the motif of "death."

Actually in the events described in the diary the motif of "vitality" plays a key role; thus Tonja appears to be pregnant. But for the poet this physiological process bears a stylized, i.e. literary rather than social character. Thus in his view every conception is immaculate and each woman at the moment of child-birth is lonely and forlorn, left to herself; the husband has nothing to do with it. (see *idem*, 290) That the protagonist regards childbirth as being determined by literature rather than as resulting from the love of two equivalent people is further emphasized by his reference to the Psalms when he states that the sun magnifies his mother. Here God is presented as being in her son. (*ibidem*) In other words, not the *human* father, but God is personified in the child. By this intertextual relationship the psalm-text and the framing text of Jurij's diary mutually activate each other. Thus the psalm-text gets a new content as it serves as a means to anticipate the future father's future behaviour in a reverse form (the latter will quit his wife and his family for Lara). The Psalm-text manifests its interpretant-character in this regard. By the reference to the psalm a suggestion is made of the innocence of the hero as he is operative in the framing text of the diary; would such a God-fearing man who knows the Bible so well ever quit his wife? By the

use of the procedure of intertextuality the narrator confirms that by the motif of "birth" the theme "vitality" gets a new dimension.

As far as this procedure of reverse anticipation is concerned the quotations from Puškin are of equal interest. Thus Živago agrees with the latter when he labeled himself as a bourgeois, writing: "Now my ideal is a *housewife*,/ my wishes are: comfort,/ and a tureen of cabbage soup, a fat one." (294; it. mine, PMW) In the framing text he motivates his agreement with these lines as they express that their author as well as an author like Čechov rightly considered both their work and their lives as private and individual matters maturing by themselves. But exactly by doing so these artists made their life and work of concern to all people. (*ibidem*) The framed text by Puškin and the framing text of the diary again mutually activate each other in the above-mentioned manner because they contain themes contradicting each other. Hence they derive their interpretant-character. The diary-writer legalizes, by referring to the embedded model-text by Puškin, his conviction that an artist should quietly live for himself. But the writer of the framing diary-text will do exactly the reverse of what Puškin writes; actually he will leave hearth and home in order to live with Lara.

In the next quotations in the diary-notes the contradiction between the quoted texts and Živago's framing texts is elaborated. For instance, the quotation from the 7th chapter of *Evgenij Onegin* runs as follows: "And the nightingale, spring's lover,/ sings all night. The eglantine blooms."¹² Jurij again gives a positive comment of these lines: "Why - lover? Generally speaking it is a natural, appropriate epithet. Of course, a lover. Moreover, it is fitting in the rhyme." (295) Reference should again be made to the above-mentioned observation that the poet regards so natural an activity as child-birth as a literary, event. The equally human theme of "love" is treated in a similar way. (see the use of the words /epithet/ and /rhyme/ in this connection) In other words, the Puškin-text is again confirmed by the framing text of the diarist not primarily because the latter agrees with it, (as he says in the framing text) but rather because the later events in the plot will show that the theme of "love" will *not* be used in a mere bookish manner. Actually Živago's future life will be determined by Lara's *real* love. In the next quotation, from the folk-ballad of Robber-Nightingale, the latter is associated with "death" rather than with "life." The concluding lines of the quoted passage are relevant: "At this whistle by him, the nightingale ... the forests all bow to the ground,/ and all people are lying dead." (*ibidem*) In Jurij's view the words "Robber-Nightingale" would *not* fit in Puškin's lines. Actually Jurij's negative observation has an interpretant-character too as future will prove that the association of "love" with "death" is correct: both Živago and Lara will die.

But, enthusiastic as the diary-writer is about the nightingale as a life-inspiring animal, his enthusiasm about the forces of life is immediately again worded in terms of literature. Actually in the context of the diary framing diary-text the

writer refers to *Turgenev's* observation that the nightingale makes two different phrases, "Tioch-tioch-tioch" and "Wake up! Wake up!" (296) This last phrase is of particular interest as the expression "to wake up" is distinctive of the motif of vitality. It was observed above that one of the two lines which Jurij had in his head when he began to recover from his attack of typhoid-fever is "It's time to wake up." The nightingale in the embedding diary-text is again associated with life, but the sign /life/ again gets an extra frame as it does not directly refer to the concept "life", but indirectly, derived as it is from another literary text, in the same way as the above-mentioned motif with sign-function /childbirth/ did not directly refer to its object, but rather indirectly, via the bible-text.

It is evident from the above-mentioned examples that the texts by Puškin, Tjutčev as well as that of the folk-ballad serve as the shadow, in Wittgenstein's terms, of that of the framing diary-text. The intertextual relationships between these texts bring on the necessary clues for the reader to interpret them correctly. Reference should again be made in this connection to the earlier-mentioned spatial determination of elements with a shadow-function in temporally determined art-forms such as music and literature. Actually the quoted texts are inserted as temporally complete blocks in the framing text which is supposed to be still in development within the framework of the plot.

The re-appearance of the motif of "vitality" at the end of winter, when the doctor stops his diary-notes, is also correlated with Jurij's quality of a physician. Thus in the first section of his notes he says that he kept quiet about his being a doctor as he didn't want to be disturbed by people *needing* medical help, "in order that his freedom would not be restricted." (*idem*, 287) In the last section of the notes, however, it is reported that a sick peasant drives his cart into the yard enlisting his help. When investigating him the doctor suddenly sees *another* cart on the yard which appears to belong to his step-brother Evgraf, dropping in, as usual, out of the blue. As always, he makes things easier for Jurij and his family in order that the first "may have more time for medicine and literature" (297) In other words, the theme of "vitality" is expressed by a reduplication of the motif "cart" as these bring both a person needing Živago's help and a person who in his turn helps him to carry out that task. Evgraf's double-function is manifest. It was observed earlier that he serves as the geometrical mean between life and death. In this passage he is associated again with motifs indicating vitality such as "spring." For Živago this means that he gets food in the literal sense of the word, but also the means by which he may continue his practical activities which are associated with life (his doctor's practice). But he gets spiritual food too, i.e. the means enabling him to continue his work as a poet. This ambivalent value of Evgraf as the geometrical mean between life and death is evident in Jurij's remark that *perhaps* each human life needs a secret, unknown force, a *nearly* symbolical figure, who comes unsummoned to the rescue. He continues: "Is the role of this

beneficial hidden spring played by my brother Evgraf?" (297) The use of the words /perhaps/, /nearly/ as well of the interrogative sentence demonstrate that the interpretant value of the doctor's statement is stressed. It leaves the question whether Evgraf is Jurij's saviour (thus emphasizing his intermediate function between life and death), undecided.

Intertextual relationships play a role in section 12,6 too. There the text of a folk-song on a rowan-bush is inserted into the prose-text; it is sung by the cattle-healer Kubaricha. The doctor mockingly calls her his rival, as she, in her own manner, also occupies herself with medicine. In other words, she fulfils the function of the protagonist's double both as far as his activities as a doctor and as a poet are concerned. But whereas the concrete results of Jurij's poetical activities have not been rendered as yet, those of his double are. The described objects and the motifs of the framing plot-text return in the framed text of the folk-song; in so far the framed text again functions as the shadow of the plot-text in Wittgenstein's definition. Thus, for example, in the framing text it is reported that "Jurij Andreevič, taking care that he would not fall into the *swamp*, and slowly making his way along the footpath, which skirted the *marshy* clearing in front of the rowan bush, *stopped dead*." (372; it. mine, PMW) This motif of "water" is repeated in the external narrator's comment on the folk-song; see: "The Russian folk-song is like water in a weir." The motif of the rowan-tree is repeated in the folk-song where a hare is reported to complain to a rowan-tree, asking it to be pitiful. The hare and the rowan-tree are associated with the motifs of "winter" and "snow." (373) The tree is called up to scatter its berries in handfuls over the world, to the house where the beloved one lives. This is the last house, standing in the outskirts of the town, the beloved one sits near the last window. Actually the house where Lara lives stands at the corner of two streets, (the Kupečeskaja and Novosvaločni lane) in front of the house with the figures. Chapter 13 begins with the observation that it is overlooked by the houses and churches of the upper parts of the town. Thus by the use of the "bird's eye-view" the suggestion is made that Lara lives in the *last* house. Thus the agreement between the house in the plot-text and that in the folk-song is brought about.

The folk-song has a shadow-function of the plot-text too as far as Živago's legal wife Tonja plays a role in it. This is expressed by the motif of "fear" in the figure of the hare; the song starts as follows: "As a hare was running about the wide world,/ about the wide world, over the wite snow./ He ran, the squint-eyed hare, along a rowan-tree./ he ran, the squint-eyed,/ complaining to a rowan-tree./ 'I, the hare, I have a timorous heart, a feverish heart, ... / I, the hare, am afraid of the wild beast's tracks,/the wild beast's tracks, the wolf's hungry belly./'" (*ibidem*) These words confirm Živago's earlier decision not to go home straightly after he has finished his relationship with Lara in order to confess everything to his pregnant wife Tonja, but rather to postpone this difficult action. (see ch. 9, 16;

314)) In other words, the mutual activation of folksong and plot-text manifests itself in the fact that the folksong adds a new dimension to the figures of Živago, Tonja and Lara, whereas by the same token a new light is thrown on the protagonists of the song, i.e. the hare and the rowan-tree. The latter is simultaneously presented as the addressee of a fearful addresser, as a beautiful addressee, and as a means to reach the equally beautiful beloved one who is far away and who is, ultimately, identified with it; see the last lines which run as follows: "I'll escape from my bitter captivity, / I'll escape to my *berry*, my love." (*ibidem*; it. mine, PMW) The motif of "winter" is found both in the framing plot-text and the framed text of the folk-song. It is seen here again that this motif is associated with that of "literature" as it was in the earlier-mentioned passage containing Jurij's inserted diary-notes. Also in this context the motif of "winter" disappears as soon as that of "vitality" enters which implies that the motif of "literature" is replaced by that of real life. Thus Jurij understands the words of Kubaricha when she exorcizes a sick cow of a peasant as consisting mainly of a mixture of corrupted places from Old Russian Chronicles. In other words, her healing activities are at first interpreted by him as if they were determined by literature. His reaction is described as running as follows: "Why should he react to the nonsensical images, the senseless talks as if they were real statements?" (*idem*, 377) The interpretant-value of this statement again appears from its interrogative character. Kubaricha's words take an intermediate position between literature ("non-reality") and reality. Their reference to literature appears from the fact that Jurij decides for himself not to jump at mere stories. Their reference to reality, however, manifests itself in the circumstance that the "nonsensical images" evoke, in a collage-like manner, the image of Lara again. This consciousness of Jurij's love makes that he again seems to wake up from a dream, in a way similar to that when he woke up from his typhoid-fever, wondering where he is and what happened to him. There is a mist before his eyes, see: "Everything misted over. At that moment instead of the expected *snow* there came a *drizzle*." (378; it. mine, PMW) These last words are essential as they indicate the transition from winter to a warmer type of weather, typical of life. Jurij suddenly sees before him the "magnified image of a single, astonishing, deified head. And the head wept, and the swelling rain kissed and watered it." (*ibidem*)

In other words, the protagonist is again dragged from death to life. It was seen that in the passage dealing with his illness his step-brother Evgraf had this ambivalent, paradoxical function as he both stimulated Jurij to write (associated with death) and impelled him to stop it, thus enabling him to return to life. In this situation, however, it is Kubaricha who masters those vitalizing forces literally, for ordinary people, as she *heals* sick cattle of the peasants. Actually the section is concluded with Kubaricha's words to the owner of the sick cow after she has

treated it: "Go now ... I've charmed your cow - she'll recover." (*ibidem*) On the other hand she has this vitalizing force for the poet which is exemplified by the fact that she serves as Jurij's double in the same way as Evgraf. That the specific tool of the poet, i.e. language, is also inspired with life by Kubaricha as she serves as an artist thus representing the geometrical mean between death and life, appears from the last sentences in the above-mentioned passage. The re-appearance of the motif of "vitality" in Jurij's consciousness is confirmed by the association of the motif of "recovery" with the word of God; the latter is emphatically presented as being alive. See Kubaricha's words with which she ends her statement: "Pray to the Mother of God. She is the abode of light and the book of the *living* word." (*ibidem*)

In chapter 14 the narrator comes maximally near describing Jurij's creative activities. Actually a description is given of the moment inspiration comes as well as its development. (see chapter 14, 8) It was observed earlier that the deictic function of the text begins to play a role as soon as the text of the poems themselves are given. In other words, that moment, at which the represented world and their representation coincide in the way distinctive of Pasternak. Even the headings of a few poems inserted in the last chapter of the book are mentioned: "Christmas Star", "Winter Night"; but it is immediately added that the poet writes down "several others of a similar genre which were later to be forgotten, forlorn and never found back." (447) The narrator defines the poet's inspiration as the phenomenon in which language begins to predominate his personality: "Language, the fatherland and dwelling of beauty and meaning, itself begins to think and speak for man and completely turns into music." (448) This phenomenon is in agreement with the earlier-mentioned, consistently made, association of literature with a passive rather than active attitude of man, realized, among other things, in the motif of "death" rather than "life." Thus Jurij feels that at moments of inspiration "the main work is not done by himself, but rather by that which is higher than him and which leads him" (*ibidem*) He is waked from his poetic thoughts by the howling of the wolves, but at that moment Lara appears to stand besides him: "'You burn and glimmer, clear candle of mine!' she said in a wet wisper, which was heavy with sleep. 'Come and sit beside me, and I'll tell you my dream.' And he put out the light." Here it it appears that even she has been made a literary figure as it is suggested that her words are adapted from the poem Jurij has under his hands, i.e. the refrain of "Christmas Star." It runs as follows: "A candle on the table burnt,/ a candle burnt." (550) By Lara's intervention, as she calls Jurij her "clear candle of mine", the latter's figurative character and his deictic function as a literary personage are combined. In the plot-text the verbal-sign /Jurij/ refers to its denotation "Jurij"; as the maker of the poem "Jurij" serves as a connotation of the sign /candle/. He is, in other words,

presented both as the creator of his own text and the object represented in it, the candle.

In the next section the identification of reality as being modeled by the external narrator and by the internal one as well goes on. The romantic idea of the poet as being hardly active in the creative process is reflected in the plot-text; see the opening lines of the section: "Another day of quiet *insanity* passed." (*idem*, 450) The doctor feels during that whole day a haziness in his head; this haziness determines his work too: "Half the groundwork had been done for him by that drowsy haze which filled him." The day (in modeled time) is experienced by the protagonist as being as incomplete and defective as the first drafts of his poems: "Like the confusion of the first rough drafts the tormenting idleness of the whole day served as a necessary preparation of the night's work." (451) Everything from reality turns into a literary theme during the night, even such alarming animals like wolves. They embody the motif of "fear" but this motif is immediately incorporated in the legend of St. George and the Dragon, which is in its turn inserted in the poem in the last chapter under the heading "A fairy-tale." The poem comes about, as it were, on its own. Thus the modeled world and its description again in the earlier-mentioned manner. The poet sees the galloping St. George literally before him and has difficulty in keeping pace with him in the writing-process, see: "... Jurij Andreevič watched him growing smaller in the distance; Jurij Andreevič wrote in a feverish hurry, hardly being able to note down the words and lines as they appeared, everywhere in their proper place and to the point." (452) In other words, a maximal coincidence of modeled and narrative time of the described poem is suggested. This coincidence is in agreement with Schelling's philosophy of identity by which the self identifies himself with outside reality.

In the descriptions of Jurij's literary activities after Lara's and Katja's departure with Komarovskij it is demonstrated that the first is operative as a geometrical mean as she embodies art, which links death and life. It was demonstrated earlier that Evgraf's fulfils a similar function. First of all, Jurij starts elaborating Lara's image in his poems and notes. But in the course of this process the real Lara more and more disappears from his mind; see: "He drank and wrote things, devoted to her, but as he crossed out words and replaced them by others the Lara of his verses and notes went away from its *real prototype*, from the *living* mother of Katja, who was away on a journey with her daughter." (464; it. mine, PMW) In so far the artistic process again appears to be incompatible with real life. However, from the further description it appears that the artistic process has a cathartic function. It should be kept in mind that "cathartic" should not be assumed here in the sense in which it was probably used by Aristotle when he says that it was the function of Greek tragedy to relieve its perceiver of an *excess* of feelings evoked by the dramatic action. Rather should it be understood here in

the meaning in which it was used, for instance, by Goethe. The latter emphasizes the value of katharsis from a qualitative viewpoint i.e. as a process by which these feelings are purified.¹³ Thus in section 14, Jurij is reported to carry out corrections for reasons of style. ("to refine and strengthen his expression") but also as they prevent him to utter his personal feelings too freely, hurting, by doing so, the immediate participants in what he has experienced. Consequently, rather than becoming bleedless and morbid, his poems get a broad, reconciling character, transforming their particular into a general character. (465) In these words the above-mentioned cathartic function of Jurij's art is expressed. Actually a process reverse to that operative in Jurij's recovery from typhus is seen at work here. In the first case it was seen that Jurij was helped both in the process of writing and in the semantically reverse process of returning to life by one and the same figure (Evgraf). Here, however, it is seen that Jurij turns to writing first in order to survive; thus Lara is associated by him with the motif of life. Actually in the preceding section 13 he has defined her as follows: "This is how you were cast to me by the tempest of life, my pride, this is how I'll represent you." (464)

But not only does Jurij carry out corrections, he makes additional remarks and notes as well which clearly have an interpretant-function. Thus it is reported that "during his lament for Lara he was also scribbling to an end his daub of different times about all sorts of stuff, about nature, about everyday things. As always happened to him when he was writing, also now a host of thoughts about his personal life and that of society darted to him during this work simultaneously and incidentally." (465) This sentence bears testimony of Pasternak's conviction that the creative process is an activity in the course of which reality is *presented* rather than merely *represented*, as a mere mimetic activity (see note 8) Thus the motif of "life" is introduced again.

In other words, the creative process appears to consist here of two activities. Firstly, there is the activity of the literary representation of Lara which is strictly aesthetic in the Aristotelic sense as it marked by the feature that the purely personal and emotional feelings the artist experiences during the production-process are transformed by a process of katharsis into Aristotle's "pleasure" (*hèdonè*) which is, in the latter's view, accessible to *all* people. Secondly, there is that process bearing an interpretant-value which gives indications about the artist's existence. The interpretant-value of the many additional notes resides in the fact that they do *not* deal with Lara, but with the artist himself as a figure who was nearest to her. Thus Lara embodies the idea of "vitality" in a similar way as Evgraf does. In Lara's case it is realized indirectly as she inspires Jurij both to write about her and about himself, i.e. *not* about her.

Some of the poems from the novel will be discussed in more detail now in the light of the above-mentioned observations.

Reference should again be made to the observation that a literary text comes about as a result of a transformation-process from potential literary elements stored in the *Geschehen* to a *Präsentation of the Erzählung* in Schmid's words. What is essential in "Doctor Živago" is that it is, at least partly, based on a *Geschehen* which bears no merely potential value, but which is supposed to have already been identified as a text, i.e. the prose-text. It was seen that with the last chapter the frame of the prose-text has been completed; the hero has died and the end of the text has been visualized in the coincidence of the modeled and narrated time. But the book goes on; there is a last, equivalent, chapter, bearing the heading: "17th chapter, The Poems of Jurij Živago." In other words, only having read this chapter to the end the reader will definitely be able to unriddle the code of the literary text as a whole. Consequently, for the correct interpretation of that text, including the poems, reference should again be made to the extra-frame discussed earlier. Thus in the reader the consciousness is evoked that the prose-text and the poetic texts are no separate units, but that they condition each other. Attention was already paid to the introductory poem "Hamlet"; the extra-frame operative in it can be presented in formula-form as follows:

a		b1	=	b2		c
[text	:	Živago	=	Hamlet	:	realized
consisting		figurative		figurative		text.
of realized		character,		character,		(code of
which						
as well as		deictic		deictic		has been
potential		function.		function;		unriddled)
literary				figurative		
units]				character,		
				deictic		
				function.		

When the 17th chapter starts the literary figure of Živago has lost his explicitly figurative character, as he has died. His interpretant value is stressed in this regard as he is only operative in that chapter as the author of the poems. This deictic function is indicated by the fact that the sign /Živago/ does not primarily refer to its meaning ("Živago") but rather to its connotation "the external writer" (Pasternak) being the real author of the poems. The extra frame manifests itself in b 2, which is analogous to b 1, because it has a double figurative character and a double deictic function. Thus the sign /Hamlet/ has a figurative character as far as it indicates a person operative in the plot of an *another* play. But he also refers to the person playing that role. The latter's interpretant-function is evident as a distinction between the first and the latter is not consistently made. See the lines:

"I love your stubborn purpose/ and I am ready to play this role." The question can be posed here "Who pronounces these words? The actor or the hero?" The above-mentioned double presentation of the figurative character and the deictic function is realized here by the intertextual relationship which is established between the text of the poem and that of the Shakespeare-play. Thus when the speaker refers to the theatrical hero, he connotes Shakespeare, when he refers to the actor, he connotes the internal speaker Živago, and, indirectly, Pasternak.

Attention should be paid here to the earlier-mentioned spatial determination of shadows (in Wittgenstein's definition) in temporally determined works of art. (see the example of the gramophone record, which is the instance knowing "how the melody goes on.") This spatial determination is also visible in the figure of b 1. The of modeled and narrated time plays a role here as it is suggested that, before being able to be *artistically* creative, the hero's real self should have died. His poems, mentioned in chapter 17 serve as a proof that he *has* died. In other words, the shadow-function of Živago in b 1 resides in the fact that his poems are presented as his own; therefore, Živago too is suggested to know "how his own poems go on." (in Wittgenstein's words) The shadow-function of b 2 is in its turn evident as it contains a reference to an existing literary work (by Shakespeare) which is supposed to be known to the reader *beforehand*.

The introduction of the extra-frame in the above-mentioned manner implies that the phenomena running parallel to Wittgenstein's shadow, necessary for the correct interpretation of the text, are recognizable on all levels. In "a" (Schmid's *Geschehen*) it manifests itself in the presence of that element which is already a complete text itself, i.e. the prose text. In "b 1" it manifests itself in the information that the protagonist of that text has died and has accordingly been "justified" as the author of the poems. The shadow-function of b 2 manifests itself in the fact that it refers both to Shakespeare and Pasternak, and in c in the consciousness that we are reading a text determined both by intra-textual relationships (because it is suggested that the included poems are written by the protagonist) and intertextual ones. (because reference is made to a text originating from another source (Shakespeare))

In the poem "Intoxication" (*Chmel'*) it is demonstrated that between the different worlds of nature and man a relationship of identity is Schelling's meaning is established. This identity is brought about by the procedure of duplication distinctive of the latter's philosophy, realized *in concreto* by the ambivalent meanings of the word *chmel* ' ("hops" and "intoxication" respectively). Thus first it is reported that the lovers seek shelter "under a broom-grove, wound by ivy." In the first stanza of the poem the figurative character of its constituent elements is stressed. These objects are: a willow, ivy, bad weather, you and I, and a cape. A vestige of Schelling's philosophy of identity is again seen in the representation of men, i.e. you and I, as equivalent to the other

elements in nature. This appears, first of all, from the fact that they are all marked by the motif of "embracing", expressed by the verb "to wind" (*obvit'*). Furthermore, the motif of "verticality" is important; it equally concerns both man and his surrounding nature. Thus ivy is presented as "climbing" and man as "throwing his arms around somebody else". As soon as the internal narrator (the I-figure) begins to speak, in the second stanza, his deictic function rather than his purely figurative character is stressed. The poet says: "I am mistaken. The trees of these thickets/ are not wound by ivy, but by hops./ Therefore, let's better spread out this cape/ in width under us." (541) The deictic function of the addresser is visualized in the first statement in the second stanza, which bears a negative character: "I am mistaken." These words are an introduction to a representation of the modeled world which is extended in the manner distinctive of Pasternak.¹⁴ Attention should be drawn here to the interpretant-value of negative statements as these shatter an expectation-pattern on the part of the perceiver.¹⁵ Actually the presentation of similar "non-information" in the form of a negative statements is distinctive of literature; by this procedure already in old forms of literature the beginning of the narrative process was indicated.¹⁶ The interpretant-value of of the represented world of the I-figure in the second stanza appears from the suggestion that it is non-existent. Thus "ivy" is "non-ivy". In its turn "hops" is "non-hops" of which its double meaning ("hops" and "intoxication") bears testimony. The interpretant-value of "non-hops" is elaborated in the image of "drunkenness."

The scene in the second stanza is, accordingly, not marked explicitly by the above-mentioned feature of "embracing" (*obvit'*) any more but by that of "interweaving," "intertwining" (*perevit'*) which has another shade of meaning. Thus the motif of "verticality" is given up as the verb "to intertwine" can be associated with a lying position contrary to "to embrace" which rather presupposes such a vertical attitude. The introduction of the biological elements "hops" and the human concept "intoxication" (indicated by one and the same word) in this context confirms that the feature "verticality" is in its turn replaced by that of "horizontalty" (see the use of the word "broadwise" (*všrinu*)). In such a situation one doesn't master either one's senses or one's muscles; giving up one's horizontal position.

The poem "White Night" derives its interpretant-value from the fact that all described objects (the elements from the *Geschehen*) are immediately questioned upon their presentation. Thus the reader's attention is shifted immediately from their figurative character toward their deictic function. Already the title is relevant: "White Night." "Night" presupposes absence of light and of all colours, that means, of "white" too. The intimate character of the situation in which the addresser and the addressee are operative is immediately questioned by the suggestion by the first that they are *not* alone. See the second stanza which begins

as follows: "You are pretty, you have *lovers*/ In that white night the two of us,/ ... look down... ." (535) The units of modeled space and time are also immediately questioned upon their presentation. This is especially clear as far as space is concerned. Does space exist at all, the poet seems to ask both himself and the reader. For instance, a suggestion is made of the non-existence of space in the image of the street-lamps in the third stanza which are described as follows: "The street-lamps, like gas butterflies,/ were touched by the first tremble of the morning." (*ibidem*) The street-lamps are associated with creatures which fly around gas-lamps thus running the risk of being burned, that means, annihilated, whereas also the suggestion is made that they are made of gossamer, i.e. a diaphanous, hardly concrete material. Summarizing, their non-existence rather than their existence stands central. Furthermore, the poet explains that spatial differences are neutralized. This neutralization is exemplified in the high viewpoint of the addresser and the addressee. Thus the addresser continues the second stanza as follows: "Leaning on your window-sill,/ we look down from your skyscraper." (*ibidem*) From this extremely high viewpoint the two people reach the far distance. In the words in the third and fourth lines of the third stanza "What I softly tell you/ is similar to the sleeping distance" the opposition between the physical *proximity* of the addresser and the addressee is neutralized by the unconsciousness of this distance, expressed in the motif of "sleep." St. Petersburg is reported "to extend panorama-like/ beyond the boundless Neva." (536) Thus the city is presented as extending *beyond* the banks of a river which is limitless itself. This motif of the neutralization of spatial differences is confirmed by the idea that where limits and boundaries do occur they are not-real. Thus in the stanzas in which the nightingale is described his dwelling-place (the forest) is presented either as asleep or charmed. Thus it is said that the nightingales "in the *sleeping* forests ... filled the boundaries of the wood with a thundering glorification. ... the voice of the *small* insignificant bird/ rouses delight and turmoil/ in the depth of the *spell-bound* forest. (536) The qualification of the nightingale as a "small" confirms the idea that the addresser is operative in one spatial block with everybody and everything near as well as far away. If this were not the case he would be unable to identify the nightingale singing in the distant forest as such a small bird, singing "there, far away." (536)

The motif of "crossing boundaries" expressed in the image of the boundless Neva-river is also expressed in the overheard conversation of hero and heroine. This is presented as creeping behind the night along the fenced gardens, in which consequently the apple-trees start growing. See: "In the echos of the overheard conversation/ in gardens *fenced by boards*,/ the branches of apple and cherry/ put on white blossoms." (*ibidem*; it. mine, PMW) For the expression of spatial differences the motif of the "fence" is essential because it indicates a border between the property of the self and the other. But the extremely high viewpoint

of both the addresser and the addressee (from the skyscraper) enables them to cross these and to look at the blossoming apple-trees. To conclude, in the last line of the poem the image is presented of trees barricading a road, i.e. of the means by which impenetrable units such as woods, meadows etc. can be crossed; see: "And trees, white like ghosts/ *are crowding into the road*, as if making farewell-signs/ to the white night which has seen so much." (*ibidem*, it. mine, PMW) That both the figurative character of the trees and their deictic function are stressed here appears from the coincidence of modeled and narrated time. Thus with the image of the trees shattering a spatial boundary, i.e. the road, the poem itself is finished too. This coincidence culminates in the image of the white night as this gives the poem a circular character; this image links the last line to the heading of the poem ("White night") which as such has a deictic function.

Actually the units of time, realized in the opposition "day"/"night" have an interpretant value similar to the units of space. Reference was already made to the image of the night which in reality is a white night, i.e. a non-night, and the image of the *street-lamps* marking the difference between day and night. These are presented as hardly existent. "Loneliness" appears to be "non-loneliness"; it therefore has an interpretant-character. (compare the image of the hero and heroine being alone versus that of the many admirers of the addressee). "Language" in its turn is "non-language" as it is no means of communication between an addresser and an addressee; see again the third and fourth lines of the third stanza: "what I'm *silently* telling you/ is also similar to the *sleeping* distances." (535) In other words, when language is asleep it cannot carry out its communicative function. Rather has language a life-creating as it impels the apple- and cherry-trees to start flowering when it is *overheard*.

In "Summer in the town" the above-mentioned coincidence of modeled and narrative time again manifests itself in the gradual construction of the described world. In the first lines "conversations in a half tone" are held. In the third and fourth line of the first stanza it is reported that "with an ardent haste/ are the hairs gathered upwards/ in one *whole* shock from the neck." (539; it. mine, PMW) By the word "whole" the completeness of the image of the hairs, being a constituent element, is stressed. In the second stanza the image is extended to the complete head in the image of the helmeted woman, "her head thrown back/ with fall her plaits. (*ibidem*) The hierarchical character of the construction of the image of this individual person appears from the fact that the image of the hairs return in that of the person as a whole. That the latter is complete implies that she is able to see; actually "the helmeted woman looks out." Her viewpoint is high (as was that of the addresser and the addressee in the preceding poem) as she apparently oversees the scene in the street: "The *passers-by* scatter/ shuffling home." In other words, the modeled world has again been extended as it comprises more than one person now.

In the remaining stanzas the boundaries between the constituent elements of represented elements are further blurred. The difference between day and night is neutralized in the motif of "light" in "lightning" which brings light in the dark of *night*. The temporal boundary between the thunderstorm and the period after it is shattered by the memory of the first in the latter, expressed by the word "as before" (*poprežnemu*); "Silence enters, / but it is hot as before. / And as before the flashes/ circle and circle in the sky." (540; it. mine, PMW) That the opposition between the motifs "day" and "night" is neutralized also appears from the motif "being awake" versus that of "sleep." See the image of the lime-trees concluding the poem. These are presented as follows: "They look gloomy because/ they have *not had their sleep out*, / the centuries-old, fragrant, / lime-trees which haven't shed their blossoms." (542, it. mine, PMW) It was observed above that the high viewpoint in the first three stanzas confirms the presentation of the modeled world as gradually extending. (The same was the case in "White Night;" there the same procedure is applied) In the last two stanzas that world is spatially contracted which is accompanied by a lowering of the point of view. Thus in the last two lines of the fifth stanza the sky in which the flashes are circling still stands central. At the beginning of the sixth stanza the viewpoint is still high; there the image is presented of puddles on the boulevards drying up in the hot morning. Actually it requires a high point on the perceiver's part to be able to view several puddles on several boulevards drying up simultaneously. However, in the last stanza the point of view has been lowered as it presupposes that the perceiver is maximally near the lime-trees in order to be able to ascertain that they are sleepy as well as that they are gifted with eyesight and that they are looking sullenly. He should also be near them in order to capture their smell. In other words, in this image the viewpoint must be maximally *low*. Summarizing, the interpretant-value of the poem manifests itself again in the presentation of elements with a "non-value." It was seen that the first stanza begins with "conversations in a half-tone" (i.e. a "non-conversation") and "hairs gathered upwards." The woman to whom they belong is only mentioned in the second stanza; in the first stanza there is, for the moment, only a "non-woman." The last stanza contains a richly developed image with an interpretant value in the lime-trees. These are presented as gifted with human sight first; as such they are no-trees. Then it is stated that they are hardly able to use that extraordinary gift for lack of sleep. Moreover, they are made the more hard to identify as their quality of blossoming appears to be temporally conditioned. Actually they are still blossoming but the qualification "not having shed their blossoms" implies that the moment they will do so is near. The image of the trees gifted with eye-sight demonstrates the earlier-mentioned Schellingian idea that man is identical with his surrounding nature and vice-versa.

Similarly, the interpretant-value of the poem "Wedding-party" (*Svad'ba*) manifests itself in the fact that strictly speaking it does *not* deal with this theme. Actually in the introductory first stanza the visitors are reported to enter the party. The remaining part of the poem, however, contains a description of the period *following* it, with mere reminiscences of the party itself. Thus the second stanza contains the information that the fragments of chatter are stilled from 1 to 7 o'clock a.m. Then, the third stanza runs as follows: "But at dawn, when sleep is deepest,/ when you would like to sleep and sleep forever,/ The accordion sang out again,/ leaving the wedding." (542) The suggestion of the wedding as being merely evoked in the form of a reminiscence is raised by the word /again/ (/vnov/) in the images of the wedding in the next stanzas; see: "And the player scattered/ again (/snova/) on the accordion/ the splash of hand-palms..." (etc.), and, particularly, in the first line of the fifth stanza: "And again, again, again (/opjat'/, /opjat'/, /opjat'/) the chatter of the dance-tune/ bursted straightly into the sleepers' beds." (*ibidem*) The evocation of the wedding-party as a past event is completed by the image of the bride in the 6th and 7th stanzas. She is presented there as " ... again ... gliding like a peacock/ swaying her hips/ in a dance-tune along the road,/ as a peacock, a peacock, a peacock." Modeled time is also presented as moving away from the place of the party. Thus the accordion-player, evoking the sounds of the party, is seen *leaving* the house. The bride in this image does not move on the dancing floor any more, but rather away from it on the road-way.

The earlier-mentioned "non-value" of represented objects manifests itself in the 9th stanza; there the reader is confronted with the beginning of the day after the party, realized in the image of the noisy yard waking up. At that moment, the poet says, "an active echo/ cuts in the conversation/ and peals of laughter." [which marked the party, PMW] (543) These noises of the nocturnal party and of the awakening yard in the early morning are considered constituent elements of the marriage under discussion. Furthermore, it is reported that in the early morning a swarm of pigeons take their way, like a whirl of grey patches, into the limitless sky, "as if one, chasing the wedding-party,/ half-awake, suddenly recollecting,/ had sent them on with many best wishes." (stanza 11) From these words it is also evident that the scene is temporally determined by the motif of "night" (and, consequently by the motif of "sleep") rather than by that of "day." (and, consequently, by the motif of "being awake"; see, in this regard, also the words: "half-awake")

The two last stanzas demonstrate that both the temporal and spatial aspects of the universe can only be grasped by human mind if they are expressed in terms of an analogy. Thus the penultimate stanza, following the above-mentioned stanza 11, starts as follows: "Actually life too is only an instant,/ only the dissolving/ of ourselves in all others/ as a gift to them." (*ibidem*) The idea that "life", in terms of

human time, is a mere instant in *absolute* time, is thus considered an intermediate station in the development from a total absence of time to absolute time. It can, in Heraclitus' definition, schematically be presented as follows:

$$\begin{array}{ccccccc} a & & b\ 1 & & b\ 2 & & c \\ \text{no time} & : & \text{instant} & = & \text{life} & : & \text{absolute} \\ & & & & & & \text{time of} \\ & & & & & & \text{universe} \end{array}$$

The equation gives an idea of absolute time when one takes into consideration that b 1 and b 2 are analogous to rather than identical with each other and that the relationship between a and b 1 should be the same as that between b 2 and c. The spatial aspect of the universe is expressed in a similar way by the image of the self dissolving itself in *all* other people in the world; actually this conception of man presupposes a relationship of analogy between them. The development from the idea of a total absence of any living being on *earth* toward that of the presence of all living beings in the *universe* can again schematically be presented as follows:

$$\begin{array}{ccccccc} a & : & b\ 1 & = & b\ 2 & : & c \\ \text{no being} & & \text{self} & & \text{all men} & & \text{all living} \\ \text{on earth} & & & & & & \text{beings in} \\ & & & & & & \text{universe} \end{array}$$

Starting-point is again that there is relationship of analogy between b 1 and b 2 and that the relationship between a and b 1 should be the same as that between b 2 and c.

The analogy between the instant in terms of universal time and a life in terms of human time is elaborated in the last stanza in which life is reported to be "only a *wedding-party*, through the windows/ bursting in from below,/ only a song, only a dream/ only a grey pigeon." (*ibidem*; it. mine, PMW) In this last stanza the interpretant-value of the motif "wedding (-party)" is confirmed by the presentation of the party as taking place *not* in the landlord's house, but rather as intruding from the outside. See again the images of the leaving accordion-player and the bride dancing in the street. In the last stanza the motifs of the preceding stanzas, i.e. "music" (the accordion-player), "sleep" (of the guests) and "sounds of everyday-life, marking the day" (see the pigeons) reappear. They are presented as one indivisible whole constituting the image of the wedding intruding from the outside.

Summarizing, the interpretant-function of the poem manifests itself in the fact that, although its heading says that it will deal with a wedding, it rather deals with a "non-wedding."

A suggestion of the universe as being constructed in a similar way is raised in the poem "Indian Summer" (*Bab'e leto*) by means of a process of shattering temporal and spatial limits. (541) In the first stanza the world is presented as consisting of hierarchically ordered elements in which nature and human world interpenetrate. Already the first line is illustrative: "A leaf of the black currant is coarse and *canvas-like*./ In the house laughter and clink of glass resound./ people are chopping, pickling, peppering./ putting cloves into jars." (*ibidem*; it. mine, PMW)

The representation of the universe by means of an analogy is effectuated by the fact that in the concept "Indian summer" (*bab'e leto*) the temporally successive periods of summer and autumn are combined. The motif of the "summer" is expressed in the presentation of the forest as a scoffer, which scatters the laughter and other merry human noises "down the steep slope,/ where the hazel [stands], scorched by the sun." Thus the motif of "summer" is associated with the images expressing human vitality like "laughter" as well as "preservation of foodstuff." (that means for wintertime, when there are otherwise no means for survival) The motif of "autumn", however, is accompanied by that of grief; thus the poet feels sorry for the autumn in its quality as a "merchant in old-rags-and-bones/ who sweeps everything into that gully." (*ibidem*) Autumn is associated with old age as well, which is realized in the colour "white". Actually such opposite motifs like "summer" and "autumn" are combined by that of "the sun." Thus whereas the first is accompanied by sun, heat, and fire it is autumn which *confirms* that its vitalizing force (marking the summer), ultimately has a devastating effect; see the penultimate stanza: "You feel sorry that it is useless to stare,/ when everything in front of you is burnt,/ and autumn's white soot/ drifts into the window like a cobweb." (542)

By this presentation of the Indian summer as a combination of two opposite elements as far as the idea of "vitality" is concerned, the poet is able to suggest, in the last two lines of the fourth stanza, a cyclical conception of the universe. There he expresses his regret "that the universe is simpler/ than many a wizzard thinks/ that, like the thicket which is drowned in water./ *all things* have their end." (541; it. mine, PMW) The analogy of all things in the universe manifests itself, in other words, in their temporal determination which implies that everything is finite. Actually the "event" that the thicket is drowned in water is no less essential than any other event because everything has its end.

The representation of the spatial determination of the universe by means of an analogy is made in a way similar to that of the temporal determination. Reference was made in the first stanza to the interpenetration of elements from nature and

the human world although they were still distinguished. ("leaf" and "canvas") In the last stanza, however, the situation changes; it runs as follows: "A path has been broken through the fence from the garden/ losing itself in a birch-wood./ In the house there's laughter and hubbub,/ That same hubbub and laughter are *far away*." (542; it. mine, PMW)

The last two lines are essential as the scene depicted in the first stanza is again evoked in them. Now, however, it is explicitly stated that the boundaries of the house are shattered because both the space outside and within those boundaries are marked by the same noises. ("laughter and hubbub") The idea that the limits of the house are crossed is confirmed by the first two lines of the last stanza containing the information about the hole in the fence "*losing itself* in a birch-wood." In other words, by the addition that the way loses itself the suggestion is raised that the hole gives access to unlimited space. Summarizing, a relation of analogy between the space in the house and the surrounding, outside, space is established by the observation that laughter and hubbub equally marks them. Consequently an indication of the universe is given, which can again be expressed as follows:

a	:	b 1	=	b 2	:	c
nowhere		laughter		laughter		laughter
		and hubbub		and hubbub		and hubbub
		in the		far away.		in the
		house.				universe.

It is assumed here too that there is a relation of analogy between b 1 and b 2 on the one hand and that the relation between a and b 1 is the same as that between b 2 and c on the other. In other words, in the same way as the absolute character of modeled time is represented by a combination of two semantically opposite temporal units of summer and autumn, the absolute character of modeled space is represented by the combination of two semantically opposite spatial indicators "near" and "distant." Also in this poem the last stanza confirms this combination of semantically opposite indicators of modeled space and time. (although it does not literally contain the words /Indian summer/) Consequently, the figurative character of the described objects in the poem and their deictic function, summarized in the title, meet in the last stanza in the earlier-mentioned manner. In this poem the identity of man with his outside world, distinctive of Pasternak, is expressed both in the modeled and narrative time.

A similar suggestion that the presence of man penetrates the space normally occupied by nature is raised in "Meeting" (*Svidanie*) where the I-figure is presented as seeing his beloved. As a consequence "The trees and fences/ shrink back into the distance, into darkness./ Lonely in the snowfall/ you are standing at

the corner." (553) The difference between this image and that of the laughter and hubbub in the preceding poem is expressed by the word "lonely." (*jodna*) Whereas in "Indian summer" the human noise in the house is presented as being reduplicated ("noise in the house" - "noise far away") in this poem *one* figure ("you") is presented as dominating both nearby and distant space. Then again the infinite character of the modeled world, and, consequently, of modeled time, is presented by means of an analogy, in this case between the I-figure and the beloved person. (the addresser and the addressee) In the seventh stanza the first states that the imprint the latter made in his heart at the moment of the meeting, will remain there forever. The ninth stanza is essential; it runs as follows: "And for that reason it doubles itself,/ that whole night in the snow,/ I am unable to draw frontiers/ dividing us." (*ibidem*) The temporal aspect of the universe is expressed in terms of an analogy, as the night doubles itself. One part is the addresser's and the other the addressee's, but these parts are experienced by the first as indivisible. In other words, the analogy consists in the fact that b 1 (indicating the addresser) and b 2 (indicating the addressee) are analogous as they share the same time unit and that the relation between a and b 1 is the same as that between b 2 and c. See the scheme valid for the representation of the temporal aspect of the universe:

$$\begin{array}{ccccccc} a & & b\ 1 & & b\ 2 & & c \\ 0 & : & \text{"I"} & = & \text{"you"} & : & \text{universe} \\ & & \text{"night"} & & \text{"night"} & & \end{array}$$

The fact that the addresser and the addressee are both inseparable and indivisible implies that their universe can also *spatially* be realized by means of an analogy. That two persons are spatially indivisible is mentioned already at the outset. There the addresser stresses, by the use of future tenses of perfective verb-forms, that he has not seen his beloved just once, when he went for a walk, but that can see her any time he wants, i.e. also on any place; see: "Whenever the snow fills up (*/zasypet/*) the roads,/ buries (*/zavalit/*) the slopes of the roofs,/ then; whenever I'll go out (*/pojdu/*) to stretch my feet: you use to stand at the door." (552; it. mine, PMW; see in this connection also Rowland 1967, 171) Summarizing, the corresponding scheme for the representation of the spatial aspect of the universe looks as follows:

$$\begin{array}{ccccccc} a & & b1 & = & b2 & : & c \\ o & & & & & & \\ & & \text{(of the} & & \text{(of the} & & \\ & & \text{addresser)} & & \text{addressee)} & & \end{array}$$

In the last stanza it is suggested that, when the existence of the figures operative in the poem is questioned, the existence of modeled time and space should in their turn be. This idea becomes understandable when reference is again made to the above-mentioned two schemes in which it is seen that the addresser (b 1) and addressee (b 2) form the geometrical mean in the equation $a : b_1 = b_2 : c$. When they cease to exist the equation as such does. Consequently, in the last stanza the poet wonders: "But who are we and where are we from (*otkuda*),/ when of all those years/ gossip is left,/ but we don't exist in the world?" (554) In other words, when we aren't there any more, where did we come from, or, what is the sense of space any more? Furthermore, the addresser again questions the sense of time by suggesting that, when he and the addressee have passed away, gossip rather than time-consuming, but at least valuable activities will remain. In other words, the figures after their death are presented as floating between either the temporally determined opposites of the universe ("never" and "always"), or the spatially determined ones. ("nowhere" and "everywhere" respectively) It is impossible to establish exactly where they are at what time.

Actually the narrative time coincides with the modeled time in the earlier-mentioned manner in so far as the poet *words* the last stanza in the form of a question thus leaving undecided the answer to the problem where the figures are to be found in modeled space and time. Thus the interpretant value, or deictic function, of that stanza is again emphasized.

The poem "Daybreak" (*Rassvet*) is also based on the combination of temporally and spatially opposed motifs, such as "life" versus "death", "night" versus "day", "loneliness" versus "crowds" and "victory" versus "defeat." This idea that opposed motifs are combined is presented at the outset with the addresser's exclamation: "You meant everything in my fate,/ Then came the war, the ruin/ and for a long, long time/ nothing was heard from you at all." (557) Only when, after many years, the addresser has read the testament of his beloved during the whole night, he says: "It was as if I revived from a faint." (*ibidem*) The combination of opposite elements manifests itself here in the fact that, because the addressee means everything for the addresser, her departure implies that he should "disappear" too; in other words, he goes off in a swoon. Only when the notion of her has returned the opposition "addresser"/"addressee" can be restored. The motif of "reviving" is associated with the morning, i.e. the period crossing the border between night and day. The faint, which itself can be regarded as bridging the gap between death and life, is identified by the addresser (the I-figure) with death; see his observation: "It was as if I revived from a faint." Not only for himself the morning is associated with "life", but for *all* people; thus the poem continues as follows: "I want to go the the people, the crowd,/ as they are *reviving* in the morning." (*ibidem*; it. mine, PMW) It is evident that the philosophy of identity to which Pasternak adhered, lies at the basis of this

observation. The identity manifests in the idea that the addresser shares the temporally determined elements of life, in this case the morning, with all his fellow-men. This identification of the addresser with the universe also concerns its spatially determined elements of life, as is explicitly stated in the penultimate stanza. When speaking about his fellow-men the addresser says: "I feel for all of them,/ as if I were in their skin, I am melting myself as the snow melts,/ I knit my brows like the morning." (557) The identification of the self with his environment is a logical result of this combination of spatially and temporally as well as axiologically opposite elements of the modeled world. This manifests itself in the image of a world in which all these opposite elements tend to approach each other in a kind of intermediate instance bridging the opposition. For example: "all hurry, leaving their food *half-eaten*, their tea *unfinished*." (*ibidem*; it. mine, PMW)

The logical consequence of the consistent application of the principle of identity of all constituent elements of the modeled world is that all oppositions disappear. This implies that everything loses its identity. This is expressed in the last stanza which runs as follows: When they are with me they are *nameless*,/ people, trees, children, stay-at-homes,/ I am conquered by all of them/ and only therein my victory resides." (558; it. mine, PMW) In other words, the anonymity of everything implies that also no oppositions between *abstracta* such as "victory" and "defeat" exist any more; the opposition is solved in the concept "victory" itself which apparently remains.

Summarizing, in the poem "Daybreak" a world is presented consisting of elements which are considered identical according to the principle elaborated by Schelling, which was explained earlier. This manifests itself first of all in the treatment of the self who, when finding his beloved again, feels himself as if he were transferred to all parts of the world. In order to express this identification the poet uses motifs indicating objects which have an intermediate function between semantically opposite objects. This procedure is at the outset expressed in the title of the poem in which the coincidence between the figurative character of the such a motif and its deictic function is evident: "Daybreak." Actually it tells us something *about* which we will get information ("a daybreak"); thus its figurative character as something lying between night and day is stressed. However, it also informs us about the literary procedure which will be used, i.e. a procedure starting from the idea that semantically opposite ideas can be combined by motifs bridging the gap between them.

From the above-mentioned examples it will have become clear that the literary character of the poems in "Doctor Živago" is determined by the use of analogies in which the elements and motifs with an interpretant-value in Peirce's definition play a key role. Actually this interpretant-function manifests itself in the geometrical mean which is in its turn a prerequisite for the expression of these

analogies. This is evident from the definition of an analogy as it was presented by Heraclitus.

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Notes

- ¹ Peirce words it as follows: " ... the object of a representation can be nothing but a representation of which the first representation is the interpretant. Thus the meaning of a representation is only the representation itself conceived as stripped of irrelevant clothing." (Peirce 1960, 1.339)
- ² O.M. Frejdenberg has explained that the moment at which narration develops from a merely pictorial representation (still distinctive of the epos) into one in

which an object of an action turns into the starting-point of an autonomous action can be illustrated by the *accusativus cum infinitivo* (in this case, *accusativus cum participio*) construction in Latin. Thus, roughly speaking, in the epos a statement like "I see him walking" is split up in the two images "I see him" and "he walks." However, in the Latin statement *video eum euntem* the accusative case demonstrates that the he-figure has been the object of the action of seeing first. Then it is indicated that he is in his turn the subject of an autonomous action. (Frejdenberg 1978 (1945), 213f.) The deictic function of "he" resides in the fact that as the *subject* of the action "walking" he has already been visualized as the *object* of "seeing"; this double presentation of the he-figure cannot be visualized in a purely pictorial presentation.

- 3 Reference should, of course, be made here, to Tomaševskij's famous definition of the fabula as presenting the described events in their temporal-causal order whereas the sujet contains them in their artistic presentation. (see Tomaševskij 1925)
- 4 In a similar way Riffaterre emphasizes in his definition of the interpretant its deictic function. In his view it plays a key role in intertextual relationships which effectuate the literary character of a verbal text. Thus he makes a distinction between the sign-text, which the reader has under his eyes, and the "intertext" (*intertexte*) which corresponds to Peirce's object. By the intertext he understands the ideal text as the sum-total of themes, motifs, or elements which make the reader conscious of the genre which the text reveals, etc. (Riffaterre 1979b, 134) The intertext can be equalized with Schmid's *Geschehen* as it contains, in their initial, potential form, all conditions which have to be fulfilled in order that the text may be correctly interpreted. In other words, they contain, in their primary form, the earlier-mentioned deictic elements which the reader needs to enriddle the code of the work. By the interpretant Riffaterre understands a third text which the author needed to rewrite his text. This text can only partially be used as being equivalent to the sign-system which the author used in the proces of rewriting, because only fragments of the interpretant-text can be adapted to the sign-text. If this were not the case and if there were a total equivalency, the model-text would merely have been copied, and would become a *corpus alienum* in the sign text. (*idem*, 134, 148 n. 13) This emphasis on the partial equivalency is essential as it demonstrates that, in the case of intertextual relationships, the figurative character and the deictic function of the inserted text-parts are equally important. By the first their origin from another text can be established, by the latter their adaptation to a new context. To continue the parallel with Schmid's scheme: the interpretant-character of the *Erzählung* manifests itself in the fact that fragments of other texts can be inserted in it because it is a text. In the case of the *Geschichte* this is impossible, because it is a mere reconstructed text in which all constituent elements of the plot are placed in their logical-temporal order. Such a *non-existent* text cannot adopt fragments originating from other *existent* texts.

- 5 See Wittgenstein's observation that " ... der Schatten ein Bild ist dessen Intention *nicht im Frage gestellt werden kann*, das heisst, ein Bild das wir nicht deuten, um es zu verstehen, sondern das wir verstehen ohne es zu deuten." (Wittgenstein 1970, 64; it. mine, PMW) In other words, the philosopher emphasizes that a "shadow" is an image which we do not interpret for its *own* sake. In so far it corresponds with the Peircean interpretant of a sign. But here the agreement ends as in Peirce's view an interpretant is an intermediate step in a process during which the *exact* meaning of a sign should be identified.
- 6 How strange a situation arises when the interdependence of the prose text and the poems is not worded in terms of an analogy may become evident from the remark that "Were it not for his poems, all that Yurii Zhivago has lived through, his observations and his dreams, his thoughts and emotions, would remain unformulated and misunderstood, and would die with him." (Muchnic 1964, 346) Actually Živago does not die at all for the simple reason that he never existed at all. He is the fruit of an artist's fantasy and as the author of poems he is consequently inexistant as well. He can only be understood as the product of the earlier-mentioned tension effectuated in any literary text by the fact that an internal narrator is simultaneously real and unreal as he both covers and uncovers an existant external writer.
- 7 Reference is consistently made to the Russian text of Pasternak 1958. Translations are mine; the translations in Pasternak 1959 have been consulted, but not literarily followed because they are far too free, particularly as far as the poems are concerned.
- 8 See: "[in Pasternak's conception] Poetry ... is more than mimesis, an imitation or recreation of the given; it is a co-creator of existence, a catalyst of reality." (Erlich 1954) and " ... here is a romanticism with a difference, a romanticism which sets more store by the artifact than by the *artifex*, which cares less for the myth of the poet than for the ineluctable reality of the poem. (*ibidem*)

- 9 See his formula:
- $$\begin{array}{ccc} & + & \\ a = b & & a = b \\ & a = a & \end{array}$$

The equation $a=a$ indicates the absolute character of the identity as it serves as what Schelling calls the *Indifferenzpunkt*, keeping the two equations in balance. The quantitative difference between the terms a and b is indicated by the equations $a = b$, and "+" indicates the overweight. The identity expressed in the scheme is thus presented as a balance in which the overweight is simultaneously imparted to the *two* scales. See: H. Plessner, *Das Identitätssystem*. In: *Verhandlungen der Schelling-Tagung in Bad Ragaz (Schweiz) vom 22. bis 25. September 1954*, veranstaltet von der Schweizerischen Philosophischen Gesellschaft und dem Archiv für genetische Philosophie. Basel, Verl. für Recht und Gesellschaft AG., 1954, 68-90, here: 73f.

- ¹⁰ See: "The street which is rumbling behind the wall day and night is as much connected with the modern soul as a beginning overture is with the curtain in a theatre, full of darkness and mystery, as yet down, but beginning already to crimson in the floodlights." (511)
- ¹¹ This Kantian attitude does not contradict Pasternak's earlier-mentioned leanings towards Schelling's philosophy of identity based as it was on Hermann Cohen's neo-Kantian aesthetic; see Erlich 1964, 138, fn. 20 as well as Terras 1967, 43f.
- ¹² Here a specific kind of intertextuality presents itself, as the protagonist incorrectly quotes the model-text; the quotation runs as follows:
"I solovej, vesny ljubovnik, /poet vsju noč'. Cvetet šipovnik." (295) See the original text: "*Tam solovej, vesny ljubovnik, /vsju noč' poet; cvetet šipovnik, ...* (etc., A.S. Puškin, PSS, izd. 2c, t. 5: *Evgenij Onegin. Dram. proizvedenija*. M., 1957, 142; it. mine, PMW)
- ¹³ There exists an enormous amount of literature on the complicated problem of *katharsis* in Greek tragedy as it was defined in Aristotle's "Poetics" 6, 1449 b. No endeavour will be made here to give a detailed description of it. For a concise reference-list see: Aristoteles, *Poetica*, vert., ing. en van aant. voorzien door N. van der Ben and J.M. Bremer. Amsterdam, 1988, 185f. For Goethe's conception of *katharsis* see his "Nachlese zu Aristoteles' 'Poetik'." In: J.W. von Goethe, *Werke*. Hamburger Ausg. in 14 Bd. (1982) Bd. 12: *Schriften zur Literatur, - Maximen und Reflexionen*. München, 342ff. and Anm. 714ff., as well as the literature mentioned there.
- ¹⁴ See, in this connection, the following observation: "For instance, tropes are a common property of most poets, but in Pasternak metaphor and metonymy play the essential thematic role of 'bringing together' all that is different in the world and in the language." (A. Zholkovsky [Žolkovskij] (1983) *Themes and Texts: Toward a Poetics of Expressiveness*. Tr. from the English by the Author. Forew. by J. Culler. Cornell Univ. Press, 201)
- ¹⁵ See, in this connection, Weinrich 1975.
- ¹⁶ The beginning of the Old Russian folk-epics (*byliny*) are illustrative; see in this regard, Waszink 1990, n.1.