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Fairy tale elements in the short fiction of Nathaniel Hawthorne

Hundley, Clarence Carroll, Jr., Ph.D.

The University of North Carolina at Greensboro, 1994

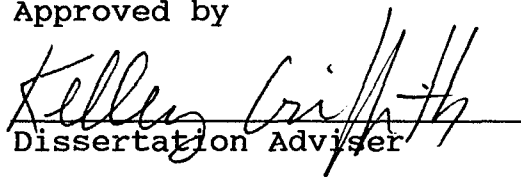FAIRY TALE ELEMENTS IN THE SHORT FICTION OF

NATHANIEL HAWTHORNE

by

Clarence Carroll Hundley, Jr.

A Dissertation Submitted to
the Faculty of the Graduate School at
The University of North Carolina at Greensboro
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HUNDLEY, CLARENCE, JR., Ph.D. Fairy Tale Elements in the Short Fiction of Nathaniel Hawthorne. (1994) Directed by Dr. Kelley E. Griffith. 230 pp.

The purpose of this dissertation is to examine the fairy tale elements in A Wonder-Book, Tanglewood Tales, and selected short stories, and to illustrate how Hawthorne altered and expanded these elements in some of his more famous tales. Chapter One establishes a connection between Hawthorne and the fairy tale, suggesting that Hawthorne was aware of specific fairy tales and fairy tale writers. Chapter Two traces a brief history of the fairy tale, suggesting how fairy tale writers altered the tales. Next, the chapter establishes characteristics of the tale. Finally, the chapter concludes with a definition of the fairy tale as genre. Chapter Three traces fairy tale elements in A Wonder-Book and Tanglewood Tales, stories which Hawthorne wrote for children. Chapter Four illustrates how Hawthorne altered and expanded fairy tale elements in other stories and concludes by showing the consequences of fairy tale elements in some of his more famous tales, such as, "The Snow-Image: A Childish Miracle," "Young Goodman Brown," "Rappaccini's Daughter," and "The Birth-Mark." The Conclusion summarizes the major changes that Hawthorne made in his use of fairy tale elements.

Approval Page

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Dedicated to my mother

Edith Estelle Bell Hundley

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INTRODUCTION

The four chapters of this dissertation aim to examine the fairy tale elements in the short works of Nathaniel Hawthorne and to illustrate how Hawthorne altered and expanded these elements in his more sophisticated, adult-oriented tales.

Chapter One establishes a connection between Hawthorne and the fairy tale by proving that he was aware of fairy tales as well as fairy tale writers. Also in this chapter, I acknowledge that other readers have detected fairy tale elements in Hawthorne's writings. Finally in Chapter One, I examine how literary trends in the nineteenth century were conducive to these fairy tale elements.

In Chapter Two, I offer a brief history of the fairy tale, offer various definitions of the fairy tale, and conclude the chapter with my definition of the genre. This definition establishes the fairy tale characteristics that I apply to Hawthorne's short works specifically intended for children.

In Chapter Three, I examine the fairy tale elements in Tanglewood Tales and A Wonder Book for Boys and Girls, applying the characteristics that I established in Chapter Two.

In Chapter Four, I examine the fairy tale elements in more typical and original Hawthorne tales, "The Snow-Image," "Young Goodman Brown," "Rappaccini's Daughter," and "The

Birth-Mark," those that seem to be intended for an adult audience. I illustrate how he uses, changes, and expands fairy tale elements in various tales and conclude by showing he makes significant changes in point of view, character, and theme.

In my Conclusion, I give a brief overview of how Hawthorne used fairy tale elements in his stories for children, how he modified those techniques in other children's stories, and how he altered fairy tale elements in his stories for adults.

CHAPTER I

HAWTHORNE AND THE FAIRY TALE

The purpose of this chapter is to illustrate that Nathaniel Hawthorne was aware of fairy tales, to establish a logical connection that a writer of children's literature would have a natural interest in literature specifically designed for children, to show that critics have seen a connection between Hawthorne and German fairy tale writers, and to examine how literary trends in the nineteenth century were conducive to the type of writing that Hawthorne did.

By his own admission, Nathaniel Hawthorne was aware of fairy tales. Hawthorne writes in his notebook on February 1, 1849, that "Mamma reads Gammer Grettel [a collection of German fairy tales] to Una, who stands beside her, eating a roasted potatoe [sic], and leaning her head on Mamma's shoulder. She looks not altogether unpretty to-day. The story is the Frog-Prince; to which Una listens with utmost intentness, making a little sound of assent and sympathy at the points of the narrative" (418). He writes later in the same entry: "Mamma returns to Gammer Grettel, and begins 'The Bear and the Skrattel.' There are several of these stories which she will not bear to have read to her, on account of some character or incident which has impressed her disagreeably; she wants there to be all sunshine and no shadow, like a Chinese picture. Mamma imitates the Skrattel's voice; but little Una cries 'No;

no!' with a kind of dread" (419). This scene captures a domestic harmony that has been repeated countless times through the centuries: parents reading fairy tales to their children.

While such a domestic scene is typical of middle class families, the scene has an added significance for Nathaniel Hawthorne. Of all the major nineteenth-century American writers, Hawthorne is the one writer who can carry the appellation "writer of children's literature." Children's literature makes up one third of his literary canon: <u>Peter Parley's Universal History</u>, (1837); <u>Grandfather's Chair: A History of Youth</u>, (1840); <u>Famous Old People: Being the Second Epoch of Grandfather's Chair</u>, (1841); <u>Liberty Tree: With the Last Words of Grandfather's Chair</u>, (1841); and <u>Biographical Stories for Children</u>, (1842). <u>Grandfather's Chair</u>, <u>Famous Old People</u>, and <u>Liberty Tree</u> (1841), <u>Biographical Stories for Children</u> (1842), <u>A Wonder Book</u> (1851), and <u>Tanglewood Tales</u> (1853) are the titles which make up three volumes of <u>The Centenary Edition of the Works of Nathaniel Hawthorne</u> (1972). James R. Mellow writes in <u>Nathaniel Hawthorne in his Times</u> that Hawthorne had contemplated writing fairy tales: "Throughout the spring of 1838, Hawthorne had kept in mind the possibility of collaborating with Longfellow on a book of fairy tales. 'Seriously,' he had written Longfellow in March, 'I think that a very pleasant and peculiar kind of reputation may be acquired in this way . . . and what is of more

importance to me, though none to a Cambridge Professor, we may perchance put money in our purses'" (153-4). The proposed title of the book was Boy's Wonder-Horn. Hawthorne eventually wrote the book by himself and gave it the title The Wonder Book.[1]

Whether by accident or design, the fairy tale genre plays a significant role in Hawthorne's writings. Rachel Elizabeth Stanfield Van Pelt examines Hawthorne as folklorist[2] in her 1962 dissertation, Folklore in the Tales of Nathaniel Hawthorne.[3] Her focus is the influence of the lore and legend of the New England region on Hawthorne's works. She examines agents of evil--the devil, the witch, and the wizard--in Hawthorne's stories. She also examines folklore motifs, such as myth, magic objects, the dead, marvels, ogres, riddles, deceptions, reversals, oaths, prophecies, curses, fate, and cruelty in the bulk of her dissertation. However, it is from the standpoint of folklore[4] and not from the standpoint of the fairy tale that she conducts this examination. She sees the fairy tale as being part of folklore, and she admits that Hawthorne "wrote stories in the fairy tale pattern" (13). However, she dismisses the significance of this fairy tale influence. She notes that the Grimms' fairy tales had been published when Hawthorne was a child and that Charles Perrault's Fairy Tales or History of Past Times was available in Massachusetts in 1795. Van Pelt theorizes, "The primary importance of the fairy tales, however, is not for the

parallel elements in them and in Hawthorne's stories but for story should be told" (13). It is my purpose to examine those "parallel elements" in Hawthorne's fiction. She reminds us that Longfellow and Hawthorne wanted to co-write a book entitled The Boy's Wonder-Horn. Allienne Rimer Becker in her dissertation The Fantastic in the Fiction of Hoffmann and Hawthorne observes that the two authors borrowed their title from Des Knabenwunderhorn. Becker says the book is a collection of German folk songs by Achim von Arnim and Clemens Brentano published in 1805 (200). Hawthorne published The Wonderbook for Boys and Girls without the help of Longfellow.

Later in her study, Van Pelt makes another passing connection between Hawthorne and the fairy tale. She narrowly characterizes the features of the fairy tale as "a setting never made specific, a plot in which incredible marvels are a commonplace, and an ending assuring happiness for the deserving" (234). She discusses several stories as having the characteristics above. She points out that "The Threefold Destiny" has three omens and involves a quest. She mentions "David Swan" as an example of a fairy tale because the fairy tale frequently has riches come to a person, and the fairy tale deals with a person who could be a perfect love. However, both these elements pass David as he sleeps. She also discusses "The Snow-Image" as being typical of the fairy tale based on her characteristics because a living being is created from inanimate objects. However, Van Pelt notes that "The

conclusion of 'The Snow-Image' distinguishes it from a true fairy tale, which would have ended with the vanishing of the image" (239). The image does vanish. It melts when the father insists that the snow child warm itself beside the fire. Van Pelt also observes a connection between the "long sleep" motif reminiscent of Sleeping Beauty in "Wakefield." Van Pelt also sees vestiges of the Cinderella story in "The Gentle Boy." But Van Pelt devotes only a few pages of these observations to her discussion. She concludes that "Hawthorne's use of the themes and elements of _märchen_ was unusual in his era. Only a few authors had attempted to create New World versions of stories that were so much a part of the Old World" (243). Considering the popularity of the Grimms' fairy tales and folklore in general in Germany, it seems perfectly natural that a nineteenth-century writer would adapt the fairy tale form to the short story. Van Pelt's commentary cries out for a more detailed investigation, which I hope to provide in the pages that follow.

David J. Winslow in "Hawthorne's Folklore and the Folklorists' Hawthorne: A Re-Examination" picks up the thread that Van Pelt and others have established and gives a good overview of the debate over whether Hawthorne was a folklorist.[5] In addition to the folktale influence, Winslow also argues that Hawthorne was influenced by the Gothic tradition and national Romanticism. Winslow points out that Hawthorne used folkloristic material primarily because of the

time in which he lived: "He was born in 1804, about the time when national Romanticism, a movement which had its beginnings earlier in Germany, was receiving its great impetus by Jacob and Wilhelm Grimm, the intellectual heirs of Herder, who published their first volume of <u>Kinder-und Haus-Märchen</u> in 1812" (50). Winslow adds that it was Romanticism and the Gothic tradition in literature which started in Germany that influenced writers in Great Britain, as well as writers in America. Because it was the Gothic which influenced the book-buying public, Winslow asserts that it was economics which motivated Hawthorne to use these motifs in his writings: "However, with the trend toward a national literature, he took the European Gothic devices and gave them New England garments" (51). Winslow concludes that "The folklore he used, and he did use a considerable amount of it, was not necessarily an integral part of his tales, but added to their background, mood, atmosphere, and feeling of historical authenticity" (52). However, folklore is more prevalent in Hawthorne than Winslow admits, as Charles Adams in <u>The Dimensions of Folklore in the Writing of Nathaniel Hawthorne</u> clearly illustrates (see note three).

The influence of the gothic was pervasive throughout American during the nineteenth century, and this style of writing is evident in many fairy tales. The gothic, with its focus on the supernatural, the fantastic, castles, ruins, and wild landscapes, is an obvious influence on the fairy tale.

Many fairy tales have the very same qualities, and many of these qualities can be found in the short works of the major writers of American literature. Gothic writing started in Europe with Horace Walpole's <u>The Castle of Otranto: A Gothic Story</u> (1765), followed by Ann Radcliffe's <u>The Mysteries of Udolopho</u> (1794) (to mention two of the most famous early gothic novels). Charles Brockden Brown in <u>Wieland</u> (1798) was the first American novelist to incorporate some of the same techniques. It did not take long for the short story writers to inculcate the same ingredients into their narratives: headless horsemen, witches' meetings, and rotting castles. Donald Ringe in <u>American Gothic: Imagination and Reason in Nineteenth-Century Fiction</u> says that "Hawthorne borrowed only a few specific elements or incidents from his predecessors, but he made good use of what might be called the general ambience of the mode: the darkness in which the gothic experience most often takes place; the flickering light of candle, lamp, or hearth which, projecting moving shadows, renders the vision uncertain; or the pale glow of moonlight, which, bathing the surroundings in a soft light, transforms even the commonplace into what seems to be a completely different world" (155).

The pioneers of the American short story, Washington Irving, Nathaniel Hawthorne, and Edgar Allan Poe, capitalized on these techniques which are evident in German fairy tales. Fred Pattee in his <u>The Development of the American Short Story</u>

establishes a clear connection between German fairy tales and the triumvirate of the early nineteenth-century American short story: Washington Irving, Nathaniel Hawthorne, and Edgar Allan Poe. This connection fortifies the idea that not only Hawthorne but also Irving and Poe wrote under a similar influence. Patte observes that Irving's "Rip Van Winkle" is based on the German tradition of the fairy tale, bearing a striking parallel to the Grimms' tale "Peter Klaus, the Goatherd" (11), who falls asleep for a long period of time, has adventures with mysterious strangers, awakens, and returns to his village where friends have suddenly grown old (11). Patte notes that "'Rip Van Winkle' is a <u>Märchen</u> of the 'Lorelei' type, blended with the softly tinted style and clearness of Goldsmith, and the kindliness and whimsical humor of Irving himself" (12). Patte adds that "The Legend of Sleepy Hollow" parallels Burger's "Der Wilde Jager" (11). To further cement a German connection, Pattee observes that Irving traveled in Germany. Pattee also concludes that Irving knew E. T. A. Hoffmann, "whose death, just as Irving was entering Germany, had brought his work into new prominence, so much so, indeed, that <u>Blackwood's</u> in 1824, could say, 'His romances and tales are at present about the most popular of all books among the light readers of Germany'" (13-14).

In addition to establishing a connection between German writing and Irving, Pattee also sees a German connection with the second member of the triumvirate, Nathaniel Hawthorne.

Pattee establishes a connection between Hawthorne and Ludwig Tieck, a German fairy tale writer. "Certainly one finds in him [Hawthorne] Tieck's brooding, poetic fancy, his tendency at times to symbolism and allegory, and his conception of romantic art as the ability to 'lull the reader into a dreamy mood.' Both, moreover, handled the Märchen, or legendary tale, in the poetic manner and both in some instances made use of the same materials" (105). I say more about Hawthorne and Tieck below.

Pattee also sees a German connection between the third member of the triumvirate, Edgar Allan Poe. Pattee establishes a connection between Poe and E. T. A. Hoffmann. Pattee claims that Poe and Hoffmann were "kindred souls" (129). "Both were abnormally sensitive, neurotic, subject to doppelgänger illusions, as in Poe's 'William Wilson' and 'Ulalume,' and both at least were near to insanity" (129). Pattee also asserts that Poe made a reference to his tales as "Fantasy-pieces," (127) which is a Hoffmann term. Pattee posits that if Poe did not read Hoffmann in the original German, certainly he would have known about the tales in translations and reviews in Foreign Quarterly Review or selected tales in New England Magazine (127).

That these three early, nineteenth-century short story writers had German influences and all three knew of one another's works is significant because it suggests that the

fairy tale had an influence on the nineteenth-century short story in America.

Critics, therefore, have noted a connection between Hawthorne and the fairy tale. H. Arlin Turner in "Hawthorne's Literary Borrowings" questions Hawthorne's reading of German authors in the original language because Hawthorne did not know German even though Sophia did. Turner goes on to say, nevertheless, that the German fairy tale writer Ludwig Tieck's writings were in translation before Hawthorne began to write his tales. Thomas Carlyle had translated Tieck's "The Runenberg," "The Elves," "The Goblet," and "The Fair-Haired Egbert" in German Romance in 1827. Turner theorizes that Hawthorne may have been influenced with the manner and matter of the tales: "Tieck's 'The Fair-Haired Egbert' is the narrative of a man who, like Arthur Dimmesdale, dwells in solitude and is persecuted by a guilty conscience; 'The Runenberg' contains a man whose heart, like that of Hawthorne's man of Adamant or Ethan Brand, has been so far hardened that he finally goes insane" (559).

Brander Matthews in The Philosophy of the Short Story is more certain of the Hawthorne/Tieck connection: "There are literary evolutionists who, in their whim of seeing in every original writer a copy of some predecessor, have declared that Hawthorne is derived from Tieck, and Poe from Hoffmann . . ." (40). Matthews writes later that "Tieck, at best, is only a very German Hawthorne" (41). Significantly, Matthews connects

Tieck and Hawthorne in his discussion of the short story. However, he does not discuss the writers in connection with fairy tales, but he does mention that fantasy is an important part of the short story.

Edgar Allan Poe, perhaps one of the "literary evolutionists" of whom Matthews speaks, was among the first reviewers of Hawthorne's stories to see a connection between Hawthorne and Ludwig Tieck. Poe wrote in Godey's Lady's Book in November 1847 that Hawthorne "is not original in any sense" (579). Poe goes on to say that those who call Hawthorne original mean only that Hawthorne "differs in his manner or tone, and in his choice of subjects" (579). Poe says that the German Tieck's manner "in some of his works, is absolutely identical with that habitual to Hawthorne" (579) [emphasis Poe's].

Frederick B. Perkins in "The Status of the Short Story" (1877) draws a juxtaposition between Hawthorne and German writers. In talking about Poe's and Hawthorne's stories not selling well in their life times, Perkins notes that Poe and Hawthorne are the best in the English language: "The German HOFFMAN is the only writer that I know of, who can be placed above them; and even he, only for the exhaustless flow of his fantastic imaginings; not for power of conception or for force and finish of execution" (18). He notes later: "It would be pleasant to consider the merits of those other German masters of imagination, besides HOFFMAN, to wit--FOUQUE, GOETHE,

TIECK, NOVALIS, and ZSCHOKKE's. With all these, except the last, there is no English writer of short imaginative tales to compare at all, except POE and HAWTHORNE; while a few of ZSCHOKKE's have a graceful, genial fancifulness entirely their own" [emphasis Perkins's] (18).

Eberhard Alsen goes into more detail in establishing a connection between Tieck and Hawthorne. In his dissertation, <u>Hawthorne: A Puritan Tieck: A Comparative Analysis of the Tales of Hawthorne and the Märchen of Tieck</u>, Eberhard does a thorough job of illustrating how such early reviewers, Evert Augustus Duyckinck, George James, Henry Fothergill Chorley, and Edgar Allan Poe, compare Hawthorne's <u>Twice Told Tales</u> to Tieck. Alsen discusses the debate on how much Hawthorne may have borrowed from Tieck and whether there is an actual connection at all between Hawthorne and Tieck. That debate goes beyond the scope of this dissertation. Suffice it to say, Alsen clearly establishes that Hawthorne knew of Tieck because of the references to Tieck in Hawthorne's notebook and that Hawthorne made references to Tieck's "Scarecrow" which parallels Hawthorne's "Feathertop."[6] The important connection for me is that Hawthorne was aware of a German writer writing the kind of fairy tale that we associate with the Grimms. The bulk of Alsen's dissertation is devoted to an analysis of Tieck's and Hawthorne's similar treatment of character, themes, settings, and technique. Oddly, Alsen never establishes exactly what a fairy tale is. He never discusses

the genre's characteristics in order to establish the Tieck and Hawthorne connection.

Jane Lundblad is yet another writer who sees a fairy tale connection. She observes rather cryptically in <u>Nathaniel Hawthorne and European Tradition</u> that "He knows fairy tales, also such as derive from the East,[7] and is acquainted with French literature and ways of thinking, and also with the world of Antiquity" (38). While she does go on to explain specifically how Hawthorne knew French literature and Antiquity, she never explains how Hawthorne knows fairy tales.

We do know that he knew some fairy tales because he mentions "Little Red Riding Hood" in "Little Annie's Ramble." In the story the narrator and Annie are walking and stop to look at animals in cages. The narrator says: "Here we see the very same wolf--do not go near him, Annie!--the self-same wolf that devoured little Red Riding Hood and her grandmother" (232). Hawthorne makes another reference to the tale in "A Virtuoso's Collection." In looking at the collection the narrator responds: "It is the wolf that devoured Little Red Riding-Hood" (698). If he knew one story, it is safe to conclude that he was aware of other stories which Charles Perrault had written. Hawthorne also makes reference in his American notebooks to Gammer Grettel. He says in his April 25, 1843 entry that Sophia was reading "Snow-Drop" to Una in Gammer Grettel. In the next entry, Hawthorne writes that again Sophia is reading to Una from Gammer Grettel. This time she is

reading "The Frog-Prince" (418). Sophia reads another story entitled "The Bear and the Skrattel"; However, Una voices her displeasure. Hawthorne notes:

> There are several of these stories which she will not bear to have read to her, on account of some character or incident which has impressed her disagreeably; she wants there to be all sunshine and no shadow, like a Chinese picture. Mamma imitates the Skrattel's voice; but little Una cries 'No; no!' with a kind of dread. It is rather singular that she should so strongly oppose herself to whatever is unbeautiful or even unusual, while she is continually doing unbeautiful things in her own person" (418-9).

The references clearly suggest that Hawthorne was well aware of German and French fairy tales.

Allienne Rimer Becker in her dissertation, <u>The Fantastic in the Fiction of Hoffmann and Hawthorne</u>, draws a connection between Hawthorne and German fairy tale writer, E. T. A. Hoffmann. Becker asserts that Hoffmann and Hawthorne use Romantic irony and the fantastic in their writings. She defines Romantic irony as "the willful playing with the form of a piece of literature, or the use of paradox and ambivalence as a principle of structure" (12). She goes on to say that "The Romantic ironist delights in the use of antithetical and parallel ideas and situations, in the arabesque, and in the use of doubles (Doppelgaenger), reflections in mirrors, in water, and in other surfaces. His writings are frequently open to multiple interpretations" (12). The focus of her study is Romantic irony and the fantastic. She defines the fantastic as "a literary mode

characterized by a group of qualities: the bizarre, the
strange, the wondrous, the unreal, the illusory, the
capricious, the uncanny, the incredible, the grotesque, the
extravagantly fanciful, the odd and irrational, the eccentric"
(3). She calls the characteristics typical of the fantastic.
The characteristics are typical of the fairy tale also because
the fantastic is an integral part of the fairy tale genre.
However, she does not make that connection. She identifies the
fantastic as a genre unto itself. It is a valid argument, and
the thesis is handled in a convincing way.

The value of her discussion is that she draws yet another
connection between Hawthorne and a German fairy tale writer.
The same characteristics that she establishes for the
fantastic exist in Hawthorne's writings as well as Hoffman's.
Becker illustrates that there was a great deal of German
literature in America during the nineteenth century, as I have
illustrated above; however, she admits that she cannot prove
that Hawthorne actually read Hoffmann. There are no references
to Hoffmann in Hawthorne's notebooks as there are to Tieck.
She deduces that because there was a good deal of German
literature around and that Hawthorne was familiar with other
German writers, then Hawthorne must have read this German
writer:

> Interest in German culture and literature in the United
> States during the period from 1800-1860 can hardly be
> overemphasized. Hawthorne wrote in a milieu which was
> saturated with German literature and thought. It is thus
> highly probable, but impossible to prove, that he read
> many of Hoffmann's fantastic stories. (202)

The connection is a bit flimsy; nevertheless, in the chapters where she discusses the fantastic in Hawthorne and Hoffmann, she does make a convincing argument that there are parallels between the two writers' stories. She draws connections between "Rappaccini's Daughter" and Hoffmann's "Der Sandmann" (249), "The Hollow of Three Hills" and Nachtstuecke, (234) "Young Goodman Brown" and Die Elixiere des Teufels (241), to mention a few.

In addition to the influence of German writers who were writing what can be called traditional fairy tales, Hawthorne was also familiar with the writings of William Wordsworth, Samuel Taylor Coleridge, and Sir Walter Scott and the Romantic period in which they wrote. Of course, these writers reflect the changing movement in social attitudes and behavior that were typical of the Romantic Movement sweeping Western civilization. In general there was more interest in emotion, the supernatural, fantasy, the long ago and faraway, the noble savage, that person untainted by the strictures of society. The child, with its innocence and purity, is comparable to the noble savage idea. This changing sensibility embraced the individual, childhood, the exiled hero, unrequited love, the emotional, the gloomy, terror, passion, and the sublime. The literary forms reflected this new emotionalism with its experimentation with form: the lyric, the ballad, folklore, and the fairy tale. It was not just fairy tales which reflect these interests. One can find any number of literary works

replete with fairy tale qualities. For example, William Wordsworth's "Lucy Gray, or, Solitude" is a ballad which deals with a child who becomes lost in the snow and becomes one with nature. Another example of fairy tale qualities is Samuel Taylor Coleridge's "Christabel," which deals with witchcraft in the form of Geraldine and purity in the form of Christabel. This focus on fantasy and the imagination were typical of the times.

Hawthorne can also be seen as an experimenter with the form of literature that he wrote, the romance. Certainly, Hawthorne was influenced by the historical romance. The inventor of the form, Sir Walter Scott, wrote such novels as, Waverly (1814), Guy Mannering (1815), and The Heart of Midlothian (1818). Hawthorne was probably influenced by the most popular genre of his day, the sentimental romance. However, he had the most pejorative commentary about this form, which was being written mostly by women for women. According to James R. Mellow in Nathaniel Hawthorne in His Times, Hawthorne said in a letter in 1855 to William D. Ticknor, his publisher, "I have not seen half enough of England, and there is the germ of a new romance in my mind, which will be all the better for ripening slowly. Besides, America is now wholly given over to a d----d mob of scribbling women, and I should have no chance of success while the public taste is occupied with their trash--and should be ashamed of myself if I did succeed" (455-456).[8] His commentary on the

romance and the novel have striking parallels with the fairy tale. In <u>The House of Seven Gables</u>, Hawthorne makes a clear distinction between the novel and the romance. The novel "is presumed to aim at a very minute fidelity, not merely to the possible, but to the probable and ordinary course of man's experience" (1). However, the romance does not attend to this "minute fidelity," "to the possible," "to the probable." The romance is a work of art which is subject to certain laws. Hawthorne says that the romance "may swerve aside from the truth of the human heart--has fairly a right to present that truth under circumstances, to a great extent, of the writer's own choosing or creation" (1). He goes on to say that the romance writer may "manage his atmospherical medium as to bring out or mellow the lights and deepen and enrich the shadows of the picture" (1). Ironically, at the same time that Hawthorne cautions the writer to make "moderate use" of mingling the "Marvellous rather as a slight, delicate, and evanescent flavor, than as any portion of the actual substance of the dish offered to the Public," he also gives the writer license to "disregard this caution" (1). Later in the "Preface," Hawthorne explains that the tale he is writing comes under the "Romantic definition." Hawthorne writes:

> It is a Legend, prolonging itself, from an epoch now gray
> in the distance, down into our own broad daylight, and
> bringing along with it some of its legendary mist, which
> the Reader, according to his pleasure, may either disre-
> gard, or allow it to float almost imperceptibly about
> the characters and events, for the sake of a picturesque
> effect. (2)

Hawthorne provides us with a formula not only for reading <u>The House of the Seven Gables</u> but also for reading many of his short stories.

It is my contention that Hawthorne is using the word "romance" in close proximity to the phrase fairy tale. Joel Porte in <u>The Romance in America: Studies in Cooper, Poe, Hawthorne, Melville, and James</u> suggests a connection between romance and that other-worldly quality that we associate with fairy tales. Porte explains that the romancer "is necessarily committed to a fictional world that is stylized and exaggerated, a world where human actions and events are heightened for the sake of 'improved effects,' namely, the representation of interior or ulterior significance" (96). Porte focuses on an important characteristic between the fairy tale and the romance when he writes that the romancer's world is "stylized and exaggerated," that there is an "improved effect" in order to represent an "interior or ulterior significance."

There is a distinct difference between Hawthorne's fiction and realistic fiction, that fiction which, according to Ian Watt in <u>The Rise of the Novel: Studies in Defoe, Richardson and Fielding</u>, gives "a full and authentic report of human experience, and is therefore under an obligation to satisfy its reader with such details of the story as the individuality of the actors concerned, the particulars of the times and places of their actions, details which are presented

through a more largely referential use of language than is common in other literary forms" (32). The fiction that Watt describes is evident to a certain extent in Hawthorne's fiction. He does place his stories in a specific historical setting. He does have "the particulars of the times and places" play an influence on the actions of the characters, and Hawthorne does give his characters specific names. There is a difference in Hawthorne's writings. An ethereal, shadowy atmosphere pervades Hawthorne's works.

Hawthorne describes this ethereal quality in "The Custom House" in The Scarlet Letter where the real takes on a filmy, diaphanous look: "Thus, therefore, the floor of our familiar room has become a neutral territory, somewhere between the real world and fairy-land, where the Actual and Imaginary may meet, and each imbue itself with the nature of the other. Ghosts might enter here, without affrighting us" (31). The moment is "magic moonshine." Hawthorne has pinpointed his narrative style. His romances, both short and long, are not exactly real, and they are not exactly fairy tales. He has joined two types of writing, the realistic (those that adhere to a "minute fidelity") and the fairy tale, in order to write his type of romance. Hawthorne directs our attention into the imagination where we see "a repetition of all the gleam and shadow of the picture, with one remove farther from the actual, and nearer to the imaginative" (31). Hawthorne admonishes: "Then, at such an hour, and with this scene before

him, if a man, sitting all alone, cannot dream strange things, and make them look like truth, he need never try to write romances" (31).

Allene Cooper in "The Discourse of Romance: Truth and Fantasy in Hawthorne's Point of View" sees Hawthorne's commentary about the "neutral territory, somewhere between the real world and fairy-land" as being fundamental to understanding Hawthorne's narrative design: "Hawthorne, frequently creates an ambiguity essential to his definition of romance through discourse that could be read as either the voice of the narrator or the thoughts of a character" (497). It is this ambiguity which allows Hawthorne to convey his truths: "Hawthorne's neutral territory between reality and fantasy is not a place of neutral emotion. What Hawthorne's brand of nineteenth-century romance invokes is the insecurity of not knowing and the awareness that one cannot know" (506). This ambiguity is also a way that Hawthorne creates illusion, an important magical quality in fairy tales.

Jack Zipes in Spells of Enchantment: the Wondrous Fairy Tales of Western Culture echoes Hawthorne's sentiments about romances with his comments about the fairy tale as a genre. The same quality that exists in Hawthorne's romances exists in fairy tales. According to Zipes, in fairy tales, "the characters, settings, and motifs are combined and varied according to specific functions to induce wonder" [emphasis Zipes's] (xiv). This sense of wonder is a key, distinguishing

characteristic that is the same in the romance and the fairy tale. Zipes argues that it is this sense of wonder that distinguishes the fairy tale from other genres: "the legend, the fable, the anecdote, the myth, . . . the moral story, novella, sentimental tale, and other modern short literary genres" (xiv). Zipes goes on to say that "Wonder causes astonishment, and as manifested in a marvelous object or phenomenon, it is often regarded as a supernatural occurrence and can be an omen or a portent. It gives rise to admiration, fear, awe, and reverence" (xiv). Zipes may as well have said that it creates, to use Hawthorne's phrase, "magic moonshine." It is this "magic moonshine" which exists in the romance and the fairy tale.

Northrope Frye echoes the same idea in <u>Anatomy of Criticism: Four Essays</u> with his commentary on modes. Frye says that the romance mode has characters who are "superior in <u>degree</u> to other men and to his environment" (33). Frye goes on to say that the character is clearly a human being but whose actions are marvelous. Frye notes that "the ordinary laws of nature are slightly suspended" (33) and concludes that "prodigies of courage and endurance, unnatural to us, are natural to him, and enchanted weapons, talking animals, terrifying ogres and witches, and talismans of miraculous power violate no rule of probability once the postulates of romance have been established" (33). Romance constitutes a

move from myth into "legend, folk tale, <u>märchen</u>, and their literary affiliates and derivatives" (33).

If the romance and fairy tale are closely related genres, then Frye's commentary in his 1976 work <u>The Secular Scripture: A Study of the Structure of Romance</u> has a relevancy to this relationship and may offer some insight into why Hawthorne chose this form. In the study, Frye leaves no doubt about the connection between what he calls the sentimental and the naive romance: "By naive romance I mean the kind of story that is found in collections of folk tales and <u>märchen</u>, like Grimms' Fairy Tales. By sentimental romance I mean a more extended and literary development of the formulas of naive romance" (3).

Frye develops a hierarchy of verbal structures with four levels, and the romance ranks at the lowest level. The first level is high myth which is not literary and cannot be understood "except by those who have passed beyond the need for literature" (21). Next, we have the nonliterary verbal structures "that tell the truth by correspondence about history, religion, ethics, or social life" (21). Beneath this is "serious literature that reflects their truths and communicates them to the populace in the more agreeable forms of story or rhetorical embellishment" (21). The last level "is the literature only to entertain or amuse, which is out of sight of truth, and should be avoided altogether by serious people" (21). Frye contends that popular literature and the romance rank at the lower levels of the hierarchy because it

is written primarily to entertain rather to instruct (23). He goes on to write that the romance frequently deals with the sensational and usually has sex and violence as its focus (26). He concludes that popular literature and the romance are different from serious literature because the former is less allusive and erudite than the latter (28). The romance may be less allusive, but this does not diminish the romance's ability to instruct. One of the fairy tales basic tenets is that perseverance leads to rewards. Frye's commentary strikes a familiar parallel with Hawthorne's writings. Hawthorne was writing at a time when the sentimental romance was the most popular kind of writing (see endnote eight), and he was constantly worried about funds and being able to support his family through his writing. Writing romances was a way to tap into the current market, even though he does not like what some writers do with the form. However, his short stories are allusive with references to particular historical events, and the short tales have a didactic quality. Frye's somewhat pejorative commentary about the romance and popular literature does not diminish Hawthorne's contribution to the short story.

What is the connection between the romance, the fairy tale, and the short story? As I mentioned above, Haw-thorne's commentary in the introductions to his romances places his fiction in a different world from reality. He writes romance rather than the novel because the novel "is presumed to aim at a very minute fidelity" (The House of the Seven Gables 1). The

romance, on the other hand, "may swerve aside from the truth of the human heart"; the writer may "manage his atmospherical medium as to bring out or mellow the lights and deepen and enrich the shadows of the picture" (1). Hawthorne has placed his short narratives, what could be called short romances, as opposed to his novel-length romances--The Scarlet Letter, The House of the Seven Gables, The Marble Faun --in an unreal world. This world, as I have indicated above, is replete with wonder, fantasy, and enchantment. By using fairy tale elements, Hawthorne is able to best achieve this unreality. Combining the techniques of the fairy tale and the romance, Hawthorne makes a significant contribution to the development of the nineteenth-century short story.

Critics offer a wide variety of definitions of the short story. Brander Matthews and M. Brunetiere see it as a hybrid form. Matthews in The Philosophy of the Short Story writes, "The Short-story . . . is one of the few sharply defined literary forms" that have no name (73). Matthews quotes Brunetiere as saying, "It is a genre, as M. Brunetiere terms it, a species, as a naturalist might call it, as individual as the Lyric itself and as various. It is as distinct an entity as the Epic, as Tragedy, as Comedy. Now the Novel is not a form of the same sharply defined individuality; it is--or at least it may be--anything. It is the child of the Epic and the heir of the Drama; but it is a hybrid" (71-72). This view offers a valuable way of acknowledging the short story's long

history. The short story is, indeed, a hybrid. It is a hybrid of the sketch, the tale, the legend, the fable, the parable, and the fairy tale.

One of the primary characteristics that the short story shares with other short genres is its singularity of effect. Everything in these genres centers around that effect. Edgar Allan Poe could easily be talking about these type tales when he wrote in 1842 that "A skilful literary artist . . . having conceived, with deliberate care, a certain unique or single effect to be wrought out he then invents such incidents--he then combines such events as may best aid him in establishing this preconceived effect" (5). On what kind of "effect," Poe is silent. Poe goes on to say, "In the composition there should be no word written, of which the tendency, direct or indirect, is not to the one pre-established design" (5). If the artist has done this, Poe concludes, "a picture is at length painted which leaves in the mind of him who contemplates it with a kindred art, a sense of the fullest satisfaction" (5). His definition of short fiction suggests that the work has a totality, a completeness, a compactness that an artist cannot achieve in longer fiction. While this compactness is evident in other literary genres (the fable, the parable, and the legend for example), it is also evident in the fairy tale. Poe's commentary establishes a possible connection between the fairy tale and the short story.[9] The connection is effect or one impression. The fairy tale, too,

is brief and the details of the story are so organized as to produce a singular effect. Everything in the tale contributes to that effect. I discuss in Chapter Two a number of fairy tales which have as their sole purpose to affirm the importance of honesty, perseverance, loyalty, love, etc. Every word of the composition, "direct or indirect," contributes to the design.

Brander Matthews in <u>The Philosophy of the Short-Story</u> builds on Poe's definition: "The Short-story is the single effect, complete and self-contained, while the Novel is of necessity broken into a series of episodes. Thus the Short-story has, what the Novel cannot have, the effect of 'totality,' as Poe called it, the unity of impression" (17).

However, Matthews makes an important addition to the definition which connects the short story and the fairy tale: "In fact, it may be said that no one has ever succeeded as a writer of Short-stories who had not ingenuity, originality, and compression; and that most of those who have succeeded in this line had also the touch of fantasy" (23). Even though Matthews does not define "fantasy," this idea is one of the primary characteristics of the fairy tale and provides a significant link between the two genres. Matthews notes the versatility of the genre when he writes, "the Short-story has limitless possibilities: it may be as realistic as the most prosaic novel, or as fantastic as the most ethereal romance" (37). However, this is not to suggest that every short story

must have an element of fantasy in order for it to be a short story. A sense of wonder and enchantment filter through Hawthorne's "ethereal romance[s]." Matthews contends that "As a touch of fantasy, however slight, is a welcome ingredient in a Short-story, and as the American takes more thought of things unseen than the Englishman, we may have here an incomplete explanation of the superiority of the American Short-story over the British" (38). Fantasy is one element that Washington Irving, Edgar Allan Poe, and Nathaniel Hawthorne, have in common. Matthews says that Nathaniel Hawthorne best exemplifies the use of fantasy.

> In no one's writings, it seems to me, is this better exemplified than in Hawthorne's,--not even in Poe's. There is a propriety in Hawthorne's fantasy to which Poe could not attain. Hawthorne's effects are moral, where Poe's are merely physical. The situation and its logical development, and the effects to be got out of it, are all Poe thinks of. In Hawthorne the situation, however strange and weird, is only the outward and visible sign of an inward and spiritual struggle. Ethical consequences are always worrying Hawthorne's soul: but Poe did not know there were any ethics. (39-40)

Matthews theorizes that an "ethical beauty" (43) pervades Hawthorne's works. Hawthorne does not violate the laws of nature, according to Matthews: "He had at all times a wholesome simplicity, and he never showed any trace of the morbid taint which characterises nearly all Poe's work" (43).

How do the various theories on the short story and the fairy tale relate to Nathaniel Hawthorne in the nineteenth century? In The Development of the American Short Story: An Historical Survey, Fred Pattee states that Hawthorne did four

things for the short story. "He turned it from its German romantic extravagances and frivolity and horror into sane and moral channels; he made it the study of a single intense situation; he deepened it and gave it beauty; and he made it respectable even in New England, a dignified literary form, admitted as such even by the most serious of the Transcendentalists" (110). Hawthorne does study a single intense situation which he deepens and gives beauty in his stories.

Mary Rohrberger in Hawthorne and the Modern Short Story posits that the short story springs from the romantic tradition and the metaphysical idea "that there is more to the world than that which can be apprehended through the senses" (141). She adds that the structure of the short story offers the author a means of probing "the nature of the real" (141). The metaphysical view is that reality lies beyond "the world of appearances" (141). In the short story, Rohrberger asserts, "meaning lies beneath the surface of the narrative" (141): "The framework of the narrative embodies symbols which function to question the world of appearances and to point to a reality beyond the facts of the extensional world" (141). Rohrberger claims that Hawthorne uses symbols in order to comment on the real world. One example will illustrate Rohrberger's ideas: "Irving, Gogol, Poe, Hawthorne present the supernatural as though it is real, and in so doing they assert its reality" (11). Rohrberger's definition is too narrow and not particularly useful. To say that the genre is a way to

comment on the real world through symbols can be said of all art. However, she does make an excellent connection between Irving, Hawthorne, and Poe and the realistic and naturalistic writers who follow. Because Hawthorne does make the supernatural seem real, he can be seen as a transitional figure between the romance story and the realistic story.

Richard Harter Fogle in <u>Hawthorne's Fiction: The Light &</u> <u>the Dark</u> sees Hawthorne's contribution to the short story literary form as a wonderful combination of light and dark:

> The light in Hawthorne is clarity of design. He has a
> classic balance; his language is exquisitely lucid. He
> gives one the sense of an invulnerable dignity and
> centrality; he is impenetrably self-possessed. He holds
> his characters to the highest standards, for he literally
> brings them to judgment at the bar of eternity as
> immortal souls. The 'dark' in Hawthorne . . . is inter-
> mingled with subtlety, his statement interfused with
> symbolism, his affirmation enriched with ambiguity. (4)

This classic balance is ideally suited for the short story genre. The balance allows him to place his characters against a dark background. Hawthorne's clear narrative design enables him to focus on the psychological machinations of his characters. With such commentary, we can begin to see the additions that Hawthorne made to fairy tale elements.

My discussion clearly establishes that there is a link between German writers, Nathaniel Hawthorne, and the fairy tale. I aim to discuss the fairy tale in some detail in the next chapter by delving a bit into its history, establishing

the characteristics of the genre, and, finally, offering my own definition of the literary form.

CHAPTER I
ENDNOTES

1. Laura Laffrado in <u>Hawthorne's Literature for Children</u> (1992) provides a good overview of Hawthorne's children's literature, although her work could have delved more into the circumstances that prompted Hawthorne to write these kinds of stories. It falls out of the focus of my study to examine this particular feature of Hawthorne's canon. Rather, I wish to focus on a particular aspect of children's literature, the fairy tale and to prove that there are fairy tale elements in Hawthorne's stories.

2. There seems to be some debate among critics about the term folklore and fairy tale. Some critics use the terms interchangeably. Jack Zipes in <u>Breaking the Magic Spell:</u> <u>Radical Theories of Folk and Fairy Tales</u> explains that the folktale is based on the development of the socio-political system in Europe, the transition from feudalism to capitalism: "Originally the folk tale was (and still is to a certain degree) an oral narrative form cultivated by the common people to express the manner in which they perceived nature and their social order and their wish to satisfy their needs and wants" (5). The folk tale, Zipes argues, sprang out of superstitions and rituals of primitive societies around the world. As civilizations developed, the tales became more typical of written literature. As a result, one aspect of folklore or the folktale became the fairy tale. It is important to point out

that if Hawthorne was interested in folklore as some writers indicate, then it is reasonable to conclude that he would also be interested in the fairy tale. I make this point because some of the folktale motifs are part of the fairy tale: witches, ghosts, ogres, and innocents against the world.

3. Van Pelt's study is concerned with tracing the influence of folklore in Hawthorne's writings. However, a later study, Charles S. Adams's dissertation The Dimensions of Folklore in the Writing of Nathaniel Hawthorne, written in 1973 supersedes her study. He goes into far more detail in tracing the influence of folklore on Hawthorne. He examines traditions, legends, Indian captivities and traditions, ghosts and revenants, witches and wizards, superstitions and beliefs, sayings and expressions, local customs, New England character types, family traditions, and tale tellers. He offers a more thorough view of Hawthorne and folklore by examining the customs and traditions of the New England area. As a matter of fact, Adams finds fault with Van Pelt's study because she takes a too superficial view of Hawthorne and folklore. Of Van Pelt, Adams writes:

> Here, in an effort to establish 'the folklore elements' in Hawthorne's tales and their sources, Van Pelt relies exclusively on the Motif-Index of Folk Literature for both the categories of lore and parallels in international tradition. . . . [T]his study does not work through the evidence or implications of Hawthorne's personal access to oral lore in any systematic or documented way. Instead it identifies approximate motifs for Hawthorne's tales and alludes to Biblical and other classical and literary sources for parallels to the same motifs. In a mechanical and uninspired fashion this survey plods through one category of motifs after

> another, identifying their emergence in various tales
> and buttressing their 'folkloristic quality' through
> allusions to their presence elsewhere in New England or
> international tradition. (41-42)

Adams makes a good point. His study does make a more thorough job of tracing specific folklore beliefs in Hawthorne. However, he makes insignificant mention of _marchen_. It is for this reason that Adams and Van Pelt are of interest to me. There is no reason to cover the ground both writers have covered in various degrees in examining Hawthorne's connection to folklore. My study attempts to pinpoint the influence of one particular kind of folklore, that of _marchen_, in Hawthorne's works.

4. A debate that Hawthorne was probably unaware of is the distinction between folklore and fairy tale. Jack Zipes argues convincingly in <u>Breaking the Magic Spell: Radical theories of Folk and Fairy Tales</u> that the fairy tale evolved from the folktale when such tales started to be written down. William Thoms offered the term "folklore" as a replacement for "popular antiquities" or "popular literature" in 1846. Thoms stressed that "it is more Lore than Literature, and would be most aptly described by a good Saxon compound, Folklore,--<u>the Lore of the People</u> (4-5). There are a wide range of divergent definitions of the folktale in <u>Funk & Wagnalls Dictionary of Folklore Mythology and Legend</u>. Jonas Balys, for example, states that "Folklore comprises traditional creations of peoples, primitive and civilized" (398). Marius Barbeau observes that folklore includes "sayings, proverbs, fables,

noodle-stories, folktales, reminiscences of the fireside,"
"songs and dances, . . . ancient games," learning to "sew,
knit, spin, weave, embroider, make a coverlet, braid a sash,
bake an old-fashioned pie," "craftsman," and "knowledge,
experience, wisdom, skill, the habits and practices of the
past" (398). William R. Bascom defines folklore as "verbal
art." He notes that folklore may never be written even in a
literate society, and it may exist in societies which have no
form of writing" (398). B. A. Botkin theorizes that "As
folklore approaches the level of the literate and literary, it
tends to become more elaborate and self-conscious in
expression, to shape about itself a formal tradition with
prestige value, and to become absorbed into the main stream of
culture" (399). R. D. Jameson sees folklore as part of a
culture's ethnology: "The data of folklore are the myths,
legends, traditions, narratives, superstitions, religions,
rituals, customs, dances, and explanations of nature and man,
acceptable to individual ethnic groups in each part of the
world at any historical moment" (400). Folklore seems to be a
catch-all, covering everything from behavior to stories.

5. Winslow gives a good overview of what scholarship has
been done dealing with Hawthorne and folklore up until 1970.
However, Charles Adams puts the issue to rest in his
unpublished 1973 dissertation (see note three) where he
thoroughly examines Hawthorne's use of folklore. I do not wish
to become sidetracked in this debate. However, since folklore

is a part of the evolution of the fairy tale, it is important
to mention at least Hawthorne's connection to folklore.

6. While the notebooks clearly establish that Hawthorne
knew of Tieck, Hawthorne's commentary associated with the
German author is essentially unfavorable. Hawthorne says in an
entry dated April 8, 1843, "After my encounter with Gaffer, I
returned to our lonely old abbey, opened the door with not
much heart-spring as if I were to be welcomed by my wife's
loving smile, ascended to my study, and began to read a tale
of Tieck. Slow work, and dull work too!" (370). He says later
in an entry dated the next day that "When it was almost as
dark as the moonlight would let it be, I lighted the lamp, and
went on with Tieck's tale, slowly and painfully, and often
wishing for thy bright little wits to help me out of my
difficulties" [the reference is to Sophia Hawthorne who had
helped Hawthorne with German on occasion, and the journal
entry is addressed to her] (372). He writes later: "I again
set to work on Tieck's tale, and worried through several
pages; and then, at half past four, threw open one of the
western windows of my study, and sallied forth to take the
sunshine" (374). On April 11, 1843, Hawthorne writes: "Then,
at eight o'clock, lighted the lamp, and bothered myself till
after nine with this eternal tale of Tieck" (377-8). I find it
interesting that if Hawthorne is so influenced by Tieck, as
Eberhard suggests, he certainly has a negative reaction while
reading Tieck's stories: "dull work," "slowly and painfully,"

"worried through several pages," "this eternal tale of Tieck." I believe that Hawthorne read Tieck and concluded that he could do a much better job.

7. Luther S. Luedtke in <u>Nathaniel Hawthorne and the Romance of the Orient</u> offers a detailed account of the influence of Eastern culture on Hawthorne. He examines the autobiographical connection between Hawthorne and his father's travels in the East. He discusses Hawthorne's readings about the same area. In addition, he discusses the evidence of Eastern culture in Hawthorne's writings. Luedtke's focus is the East while mine is the West, particularly German literature.

8. There is no wonder that Hawthorne would be envious of that "d----d mob of scribbling women" since they were more popular than many of his works. In <u>American Literature</u>, Borris Ford indicates that Hawthorne made one specific reference to a woman in that mob, Maria Cummins's <u>The Lamplighter</u> (1854). The story sold 40,000 copies in the first eight weeks of publication and dealt with an orphan girl (61). Mrs. Marion Harland's first novel <u>Alone</u> (1854) managed to sell 100,000 copies in the first five years of publication. The novel was still being published after World War I (61). From 1854-1907, Mary Jane Holmes published a book a year. In 1854, she published <u>Tempest and Sunshine</u>. "Augusta Jane Evans's <u>St Elmo</u> (1866) ranks among the thirty most popular novels ever published in the United States (61). Susan B. Warner's <u>The</u>

Wide, Wide World (1850) was considered a "blockbuster." The book was published thirteen times in two years. It was reprinted a total of thirty seven times and sold half a million copies. Mrs. E.D.E.N. Southworth sold 200,00 copies of Retribution (1849). However, the all time champ of this particular time period was Harriet Beecher Stowe's Uncle Tom's Cabin, which was serialized in the National Era (1851-2). In seven years, Mrs. Stowe sold one million copies. It was America's first international best seller. Boris Ford notes that Stowe's novel was a bit of an exception to the other books being published. Ford adds: "The run-of-the-mill book was a wholly sentimental affair, concerned mainly with girls confronting the pains and terror of adolescence" (62). Ford goes on to say, "This vast new market, however, was also intensely constricting (62). Its narrow domestic emphasis served only to enforce a conventional morality. Church and children and chastity were its sole touchstones; and inevitably its values swamped the rest of the literary marketplace" (62). By way of contrast, The Scarlet Letter sold 5,000 copies in the first six months and was considered an immediate success. Melville's Moby Dick had sold only 2,300 copies eighteen months after publication.

Hawthorne illustrates with his commentary about the "scribbling women" his interest in being a financially successful author. This may be one reason he was drawn to the fairy tale form. He could not bring himself to write the

sentimental romance, although some argue that <u>The House of the Seven Gables</u> is his reaction against the form. Nevertheless, the fairy tale form gave him an opportunity to use the trappings of the sentimental romance where evil is punished and goodness is rewarded. In his adult tales, this does not occur.

9. Andrew Levy in <u>The Culture and Commerce of the American Short Story</u> argues that Poe's commentary is "so powerful that Poe's words remain easily the most pervasive in the history of the genre. He was, and continues to be, both the patron saint and the neighborhood bully of the American short story" (10). Levy theorizes that Poe was an advocate of the short story genre because he was interested in the magazine "and developed an editorial posture hostile to the traditional prestige of bound volumes and the literary forms they contained" (11). The short story is ideally suited for the magazine format. Thus, if Poe was interested in establishing a magazine, it seems logical to conclude that he would prefer one genre over the other for purely economical reasons.

Eugene Current-garcia and Walton R. Patrick in <u>American Short Stories: 1820 to the Present</u> advance a similar theory. They note that between 1820-1860 the short story thrived in America because hundreds of magazines were established. They mention the <u>North American Review</u>, <u>Knickerbocker Magazine</u>, <u>Graham's</u>, and <u>Southern Literary Messenger</u> (xii) and <u>The Token</u>

(xv) as the most noteworthy. They add that poetry and the short story were ideally suited for these type publications. Current-garcia and Patrick stress that with the magazine's popularity came problems. If the authors wanted to succeed financially, they had to write "the kind of stories which magazine editors would buy and publish" (xv). While Current-garcia and Patrick do not mention it, the writers inevitably had to compromise the kinds of things that they wrote. This suggests Jack Zipes's theory on the "instrumentalization of fantasy," where the artistic process is compromised by the bourgeois public (see Chapter Two).

CHAPTER II

THE FAIRY TALE: A BRIEF HISTORY AND DEFINITION

While Chapter One draws a connection beween Hawthorne and the fairy tale, it is helpful to have a more specific definition of this literary type before my discussion of fairy tale elements in the short works of Nathaniel Hawthorne. I will divide this chapter into three sections. In the first section, I will offer a brief history of the fairy tale in the nineteenth century. In the second section, I will discuss the meaning of fairy tale. In the third section, I will discuss in some detail the characteristics that critics have attached to the fairy tale and conclude with my definition of the fairy tale genre.

I.

Africa, China, Egypt, Spain, Russia, France, England, and, of course, Germany are some of the countries that have produced fairy tales.[1] When scholars talk about the origin of fairy tales, they usually talk about the polygenesis of the genre. No one country can take credit for the invention of the genre. Where civilizations exist, we can find one of the most popular literary forms known to humankind. Of the genres similar to the fairy tale--the sketch, the fable, the parable, the legend, the folktale, even the short story--the fairy tale is probably the most well known.

The point in the history of the fairy tale that has the most influence on this study is the nineteenth century. However, I would like to go back a couple of hundred years and fill in some details which have a direct bearing on the fairy tale. The seventeenth century is perhaps the best place to begin.

One of the first writers of fairy tales, the ones that most people have some knowledge of, "Sleeping Beauty," "Little Red Riding Hood," "Blue Beard," "Puss in Boots," "Diamonds and Toads," "Cinderella," "Ricky of the Tuft," and "Tom Thumb," for example, is, indeed, Charles Perrault, who published the stories in <u>Histoires ou Contes du temps passé. Avec des Moralités</u> (1697). Charles Perrault is important in the development of the fairy tale for several reasons. Perrault was employed at the court of Louis XIV where fairy tales were popular. Jacques Barchilon and Peter Flinders in their biography <u>Charles Perrault</u> reveal that listening to fairy tales was a particular passion of Louis XIV, who liked to hear fairy tales just before falling to sleep (78). Being closely associated with the monarchy suggests a motivation for assuring that the tales taught certain lessons, cultivated certain mores. This didacticism, along with the fairy tale's structure, is one of the fairy tale's many distinguishing characteristics.

The court's interest in fairy tales and Charles Perrault's interest coincide. Charles Perrault[2] frequently

wrote panegyrics for the court, and in 1663 he was appointed secretary to Jean-Baptiste Colbert, minister of finances and superintendent of royal buildings. Perrault was eventually placed on the royal payroll. This is significant because it places Perrault in the court where fairy tales were a source of interest and establishes an influence on Perrault. Barchilon and Flinders point out that seventeenth-century France had a great deal of interest in "the allegorical, the mythological, the emblematic, and, of course, the fairy tale" (78).[3] The biographers theorize that Perrault set forth his aesthetic theory of the fairy tale when he wrote about poetry and opera. Barchilon and Flinders quote Perrault as saying that in opera you must deal with the "'fabulous in this kind of poetry'" (81). They go on to quote Perrault as saying: "'These wonderful fictions . . . entertain and put to sleep the powers of reason, even though they may be contradictory to it, and they can charm this reasoning mind far more than the most true-to-life works of art'" (82). Even though Perrault is discussing opera, these qualities are also typical of fairy tales. The tales have a poetic quality, and this quality hypnotizes the reader to the point that he willingly suspends disbelief and believes the charms and wonder of the tale. Barchilon and Flinders see that "The fairy tale, even though it may be apparently nonsensical, has its own inner logic" (82).

Barchilon and Flinders acknowledge that Perrault had a number of influences. These authors contend that Boccaccio was Perrault's influence and that Perrault used him "as a source of inspiration" (115). For the other tales, the biographers feel that Perrault based his narratives on stories that he heard as a child. In addition, Barchilon and Flinders note that Perrault was strongly influenced by popular tradition, particularly chapbooks (115). Whatever his source, they argue, Perrault was translated so often that his influence was almost universal:[4] "He was a great inventor and artist, certainly inspired by popular tradition, but above all one of the greatest influences on the folklore of the western world" (117-8). Iona and Peter Opie in The Classic Fairy Tales point out that "Perrault's achievement was that he accepted the fairy tales at their own level. He recounted them without impatience, without mockery, and without feeling they required any aggrandisement, such as a frame-story, though he did end each tale with a rhymed moralité" (22).

A significant point with Perrault and other fairy tale writers is that they frequently imposed a moral or lesson on the tale. Perrault attached a rhymed moral, sometimes two, to each of his tales. Perrault attaches the following moral to "Ricky the Tuft":

> Moral
> Here's a fairy tale for you,
> Which is just as good as true.
> What we love is always fair,
> Clever, deft, and debonair.[5] (89)

Of course the moral is typical of the parable and the fable as well. When the tales became popular in the court, there was a tendency to impose a system of socially acceptable conventions which have remained with the fairy tale. However, it is Rainer Wehse's view in "Folkloristic Narrator Research" that before the nineteenth century such stories were viewed suspiciously, that religious and secular authorities viewed the stories as lies. He goes on to say, "Symbolic language was often suspected of being an expression of dissatisfaction with social conditions and was thus perceived as a possible threat to the social order" (247). He observes that writers in the Enlightenment had pejorative terms, such as "wetnurses' tales" (247), for the tales.

Iona and Peter Opie write in The Classic Fairy Tales that the tales were looked on with disfavor: "They were felt to be an affront to the rational mind; to be the preserve merely of nursemaids, and of wayward children with their ninepenny illustrated collections attributed to 'Mother Goose' (mostly tales written by Perrault) and 'Mother Bunch' (in general tales by Madame d'Alunoy)" (25). The Opies go on to say that this view changed quickly with the publication of Edgar Taylor's translation of German Popular Stories in 1823. The tales were suddenly "a respectable study for antiquarians, an inspiration for poets, and a permissible source of wonder for the young" (25). Wehse concludes that during the Romantic period a change took place. These changes made the fairy tale

more acceptable because there was a greater appreciation for the folk tradition; thus, there was an interest in the stories that they told (248).

Jack Zipes argues that "the fairy tale in the eighteenth century excluded the common people and addressed the concerns of the upper classes" (<u>Breaking the Magic Spell</u> 10). Zipes argues that the tales were altered to appeal to the tastes of the upper class, and he maintains that "the rise of the fairy tale occurred simultaneously with the decline of feudalism and creation of the bourgeois" (<u>Breaking</u> 12). The upper classes did alter the stories to suit their tastes. Zipes points out that conservative bourgeois groups considered the tales amoral "because they did not rejoice in the virtues of order, discipline, industry, modesty, cleanliness, etc." (<u>Breaking</u> 12). James Finn Garner in his <u>Politically Correct Bedtime Stories</u> writes that the purpose of fairy tales was "to entrench the patriarchy, to estrange people from their own natural impulses, to demonize 'evil' and to 'reward' an 'objective' 'good'" (ix). However, despite Garner's observation, many parents read and still read such stories to their children because of the lessons the tales teach about coping with the obstacles of life, the dragons of existence if you will.

It is a significant movement in the develop of the fairy tale's structure that the upper classes wanted the stories to teach certain things. This development determines the shape of

the fairy tale. Zipes goes so far to say that it altered the way writers imagined the stories. He uses the phrase "instrumentalization of fantasy" to mean that when the imagination is set in a socio-economic context there are limitations imposed on the imagination which in turn leads to a diminished imagination. Because fairy tale writers wanted the tales to say certain things, teach certain lessons, they made compromises in their stories. Zipes points out that during the Enlightenment people felt that the fairy tale seemed to criticize utilitarianism. The fairy tale's emphasis "on play, alternative forms of living, pursuing dreams and daydreams, experimentation, striving for the golden age--this stuff of which fairy tales were (and are) made challenged the rationalistic purpose and regimentation of life to produce for profit and expansion of capitalist industry" (Breaking 14). Zipes argues that either "fairy tales themselves were rewritten and watered down with moralistic endings, or they began to serve a compensatory cultural function" (Breaking 14).

The fairy tale continued to evolve during the eighteenth and nineteenth centuries, especially with publication of the Grimms' fairy tales. It is during these centuries that the fairy tale took on the form as we know it, especially with the publication of the Grimms' fairy tales. Helmut Brackert observes in his introduction to German Fairy Tales that the tales served a nationalistic function. He states that the

German nation was made up of over a hundred principalities and that Germany was powerless against a growing Napoleonic threat. The interest in folk literature and fairy tales prompted a sense of shared German heritage (xviii). Zipes argues that the German romantic was interested in a revolutionary form, a revolutionary statement (Breaking 42). Zipes summarizes the German romantic's intentions:

> No matter what the individual political or aesthetic bias of a romantic writer was, all the romantics sought to contain, comprehend and comment on the essence of the changing times in and through the fairy tale, and this common goal has stamped the contours of the fairy tale up to the present. (Breaking 42)

Zipes goes on to say that the transition from the folk tale to the fairy tale is based on a "historical transformation of social attitudes and behavior" (Breaking 44). There was a less mechanistic view of man, where the individual was seen as fulfilling his prescribed role. There was a greater emphasis on exercising free will and determining one's own destiny. Zipes points out that the fairy tale reflected this growing change: "In its early phase the fairy tale reflected conflict, in other words, the lack of room in society or the lack of real possibilities for social participation desired by talented members of the bourgeois intelligentsia who wanted to create something new and questioned all existing institutions" (Breaking 50).

The Grimms are probably the most famous fairy tale writers of all time. In this brief history of the fairy tale, it is important to understand how they imposed their views on

the shape of the genre. In his chapter on the Grimms,[6] "Who's Afraid of the Brothers Grimm? Socialization and Politicization through Fairy Tales" in <u>Fairy Tales and the Art of Subversion</u>, Jack Zipes indicates that the Grimms made more changes in folk literature when they transformed the folk motifs into fairy tales. While the tales come from peasants and day laborers, the Grimm brothers imposed on the tales middle class mores, even when the story deals with queens and kings. This illustrates how the fairy tale changed in the nineteenth century and particularly how the Grimms changed the tales. For example, in a story such as "Brier Rose," the tale centers on a king and queen who desperately want a child. The story, typical of many, stresses class. The characters remain at the same class level. There is no crossing over. A frog grants the queen's wish while she is bathing. She gives birth, and twelve of the thirteen wise women "bestowed their miraculous gifts upon the child" (186).[7] The gifts included virtue, beauty, wealth, etc. The one wise woman who was not invited, because there were not enough golden plates from which to eat, storms the party and pronounces that the young maiden at fifteen will prick her finger on a spindle and fall dead. One of the other wise women who had yet to give her gift countered the evil gift with the stipulation that the maiden would only sleep for one hundred years. All happens as predicted. Briers grow around the castle, and all its inhabitants fall asleep. The princess becomes known as "Beautiful Sleeping Brier Rose." The

briers are impervious to the various princes' attempts to claim the princess, until one fearless prince appears on the day that the hundred years sleep comes to an end, enters the castle, sees all asleep, discovers the princess, kisses her, and all return as they were on the day they fell asleep.

The story reflects what the Grimms felt was appropriate behavior for a young girl. The princess is passive. She maintains her upper class status and essentially does nothing while prince after prince attempts to claim her. The message seems clear: If a young woman wants happiness, she need do nothing. Someday a prince will come and restore her to life, wealth, and happiness. Zipes argues that the Grimms' changes reflect "social transitions and class differences" that attest to the "gradual ascendancy of bourgeois codes and tastes" (Fairy Tales and the Art of Subversion 51). It is important to note that the Grimms also make it a point to specify the character's occupation, whether it is huntsman, tailor, weaver, soldier, journeyman, miller, king, queen, prince, or princess.

There are others who concur with Zipes about the nature of the changes that the Grimms made in the fairy tales. The point is significant because it is the Grimms who give the fairy tale its distinctive quality. Maria Tatar in The Hard Facts of the Grimms' Fairy Tales points out that while the Grimms made overtures to preserve folktales as they existed in German culture during the nineteenth century, the Grimms made

changes with each subsequent edition. Tatar remarks that "Wilhelm Grimm rewrote the tales so extensively and went so far in the direction of eliminating off-color episodes that he can be credited with sanitizing folktales and thereby paving the way for the process that made them acceptable children's literature in all cultures" (24). The tales are devoid of overt references to sex. However, that is not to suggest that there are not veiled references to such activity. For example, in "The Virgin Mary's Child," a child is admonished for peeking into a room and then lying about it. She sleeps in a tree until the king of the country rescues her. The king finds the maiden after he chases a deer into the forest. The rescue seems very sexual: "When it [the deer] fled into the bushes that surrounded the maiden's dwelling spot in the forest, he got off his horse, pulled the bushes apart, and cut a path for himself with his sword" (10). There is a great deal of emphasis placed on the fact that she is a virgin, and she marries him soon after the discovery in the forest. She has a son one year later.

An example of a more overtly sexual story is "Old Hildebrand." The village priest wants to "spend one whole day alone with her in pleasure" (350). The priest and the wife, Hildebrand, devise a plan for the wife to pretend that she is ill. She wants to hear the priest one last time, but her husband insists that he will go to the priest for her. In his sermon, the priest directs anyone who has a sick family member

to go to Mount Cuckold in Italy for bay leaves to restore the family member to health. The husband heeds the advice and departs; meanwhile, the priest heads for Hildebrand. Before the husband reaches Italy, an egg dealer explains to the husband that there is no Mount Cuckold. The husband returns to his wife "and gave the priest a good beating" (352). "Old Hildebrand" is about as sexually explicit as a Grimms' story gets; however, there are subliminal sexual references in the tales.

Helmut Brackert agrees in his introductory remarks to German Fairy Tales that the Grimm brothers made changes. Brackert asserts that it was Wilhelm Grimm who gave the tales their puerile emphasis. A good number of the tales revolve around children or adolescents: "The Frog King," "Rapunzel," "Hansel and Gretel," "Cinderella," "Thumbling," "The Goose Girl" are obvious examples. However, there are stories which deal with adults, such as "The Fisherman and His Wife" and "The Old Man and His Grandson," as well as stories dealing with animals, "The Wolf and the Man," "The Wolf and the Fox," "The Fox and His Cousin," and "The Fox and the Cat." Wilhelm Grimm, according to Brackert, simplified sentence structure, repeated key words and phrases, gave descriptions poignancy and emotion, making "the fairy tales more childlike, more folklike, more magical: in short, more like a fairy tale" (xx). Linda Degh in "Grimm's [sic] Household Tales and its place in the Household: the Social Relevance of a

Controversial Classic" agrees. Degh points out that the Grimms retained the plots of the stories, but they embellished and elaborated on details. She notes that the brothers polished rough areas, corrected errors, and replaced "indirect speech with direct speech" (28). She goes on to say that the Grimms added dialogue, openings, and closings. She points out that they connected episodes with "episode-connecting formulas and repetitions" (28): "In many cases, the Grimms composed one perfect tale out of several less complete variants told by informants from different parts of Germany" (28). However, Brackert admonishes Wilhelm Grimm:

> And yet in tailoring his versions to suit the special needs of children, in excising objectionable passages, in holding up proper middle class manners for praise and condemning any deviation from the norm, in seeking, as such, to impose a didactic moral, Wilhelm Grimm seriously distorted the function of the fairy tale. (xx)

Brackert points out that Jakob felt that the tales were not intended for children, but because children took to the fairy tale he was happy. Brackert acknowledges that no one is certain when the fairy tale became so closely associated with children, but the stories first began for adults. However, almost from their inception, the tales were used for what they could teach. Brackert quotes Friedrich Schleiermacher who writes, "There is no other poetry for children but the fairy tale" (xxiv).

The development of the fairy tale coincides with the rise in children's literature which in turn reinforces the idea that literature should instruct children on the right kind of

behavior. I have already illustrated in Chapter One the interest that Hawthorne had in children's stories. Considering that a good deal of his canon is devoted to such literature, it is important to trace the components of the fairy tale in his tales, which I will do in chapters three and four. Ruth B. Bottigheimer in Grimms' Bad Girls & Bold Boys: The Moral & Social Vision of the Tales explains, "Within children's literature in the nineteenth century, Grimms' Tales occupies a pivotal position. The Grimms appeared to share the contemporary intention that children's literature should improve its readers religiously, morally, and socially (though not necessarily educationally as in Orbis Pictus)" (18-19). The brothers stress the importance of loyalty, patience, love, friendship, and perseverance; they caution against, lying, pride, deception, and subterfuge. It is because of these teachings that the Grimms' fairy tales have become a virtual institution.

II.

While the brief history of the fairy tale suggests some of the qualities that a fairy tale possesses, it is important to have a definition of the genre before discussing how Hawthorne's tales reflect fairy tale elements. A number of writers have offered a wide array of definitions of the fairy tale. Marie-Louise von Franz in An Introduction to the Interpretation of Fairy Tales draws a parallel between folklore, tales of the people, and the fairy tale. She draws

on C. G. Jung's theories dealing with the collective unconscious:

> Fairy tales are the purest and simplest expression of collective unconscious psychic processes. Therefore their value for the scientific investigation of the unconscious exceeds that of all other material. They represent the archetypes in their simplest, barest and most concise form. In this pure form, the archetypal images afford us the best clues to the understanding of the processes going on in the collective psyche. In myths and legends, or any other more elaborate mythological material, we get at the basic patterns of the human psyche through an overlay of cultural material. But in fairy tales there is much less specific conscious cultural material and therefore they mirror the basic patterns of the psyche more clearly. (1)

This is an excellent way to explain how folklore contributed to the archetypes of the fairy tale, because the definition suggests that the fairy tale is a configuration of patterns from the collective unconscious. Franz's explanation is restricted to a psychological view of the fairy tale. She does not, however, give a thorough or broad definition of the genre.

Another view comes from Stith Thompson who offers his own definition of folklore in The Folktale. Thompson notes, "Although the term 'folklore' is often used in English to refer to the 'household tale' or 'fairy tale' (the German Märchen), such as 'Cinderella' or 'Snow White,' it is also legitimately employed in a much broader sense to include all forms of prose narrative, written or oral, which have come to be handed down through the years" (4). As I mentioned above, some scholars are particularly intent about making a distinction between oral and written folklore. Thompson says

of the two, "Often, indeed, their interrelation is so close and so inextricable as to present one of the most baffling problems the folklore scholar encounters" (5). He goes on to say that the stories world-wide have similar structural forms: "The hero tale, the explanatory legend, the animal anecdote--certainly these at least are present everywhere" (6). Under the heading of folklore, Thompson places other genres. He points out that one of the most frequent genres is Märchen, which is usually translated into English as fairy tales or household tales. Thompson notes the inexactness of the translation by stating that the tales rarely deal with fairies. He states that the French translate Märchen as conte populaire ("popular stories"). As examples of such tales, Thompson lists "Cinderella," "Snow White," and "Hansel and Gretel." Thompson says that a Märchen is

> a tale of some length involving a succession of motifs or episodes. It moves in an unreal world without definite locality or definite characters and is filled with the marvelous. In this never-never land humble heroes kill adversaries, succeed to kingdoms, and marry princesses.
> (The Folktale 8)

In Funk & Wagnall's Standard Dictionary of Folklore Mythology and Legend, Thompson explains how the term fairy tale is really a misnomer for the type of stories under discussion: "In many ways this is an unfortunate word since not more than a small number of such stories have to do with fairies" (365). Then Thompson goes on to say,

> These stories are usually located in a never-never land where all kinds of supernatural events occur. The characters are usually not named, but are referred to as a

> certain 'king and queen' and 'the youngest daughter.'
> Sometimes very common names such as Jack and Mary Ann
> may be used, but there is no thought of identifying the
> characters any further. The fairy tale is full of common-
> place expressions and motifs which tend to be used in
> other tales and to be a part of the general style of the
> the story-teller. (365-6)

Thompson says of Märchen that the term is frequently used by folklorists, but all do not agree on its meaning. He acknowledges that the English phrase "fairy tale" is a close translation. However, the term has a broader application. He points out that it includes everything from the Grimms' collection of Kinder-und-Hausmärchen, but the term also encompasses 'nonsense tales, cumulative stories, tales of numskulls, and many other divergent kinds" (676). Thompson makes a distinction between Märchen and Sage. Sage refers to that story actually believed by the speaker and Märchen to that which is fiction. Thompson deals more with the nomenclature of the fairy tale and folklore, rather than the characteristics.

Such a distinction among types of tales, however, contributes little to establishing the characteristics of the fairy tale. The Oxford English Dictionary states that fairy tale is "A tale about fairies;" "An unreal or incredible story;" "A falsehood." The editors attribute the first use of the term to Horace Walpole in 1749. The editors suggest that the term originated from the French phrase conte de fées. Jack Zipes in Breaking the Magic Spell believes that phrase probably comes from Contess D'Aulnoy's book Contes de fées

published in 1698 and later published in London as <u>Tales of the Fairys</u> (23). <u>The Oxford English Dictionary</u> offers the following etymology of <u>Märchen</u>: The word comes from Middle High German <u>merechyn</u> meaning short verse narrative; from the Old High German <u>mari</u> and the Middle High German <u>maere</u> meaning news or tale. It is difficult to make a distinction between fairy tale and <u>Märchen</u>. The words can be used interchangeably. <u>The Oxford English Dictionary</u> offers a thorough etymology of the term but does little as far as establishing characteristics.

What makes a fairy tale distinct, unique from other genres? Alexander H. Krappe in <u>The Science of Folklore: A classic introduction to the origins, forms, and characteristics of folklore</u> observes that "By <u>fairy tale</u> we mean a continued narrative generally of a certain length, practically always in prose, serious, on the whole, though humour is by no means excluded, centering in one hero or heroine, usually poor and destitute at the start, who, after a series of adventures in which the supernatural element plays a conspicuous part, attains his goal and lives happy ever after" (1). Krappe's definition is useful, but, again, the definition is derivative of those that I have already mentioned. His, too, is incomplete and too broad.

MacLeod Yearsley in <u>The Folklore of Fairy-Tale</u> asserts that "The fairy-tale is our first introduction to literature. It is a primitive literature, abounding with enchanted

princesses, heroic youngest sons, talking animals and horrid monsters; a literature which fascinates our early years, supplies our craving for the marvelous, and which we receive without question" (1). He adds, "Few realize that these romances of our childhood are something more than nursery stories full of absurdities and impossible incidents, designed to catch a vagrant attention or amuse an idle hour" (1-2). Yearsley speculates that "Fairy-tales, or folk-tales, are fiction in its childhood. They are in fact [quoting Canon Macculloch] 'the fossil remains of the thoughts and customs of the past,' and it is in this that their value lies, since in our nursery tales lurk the serious beliefs of our forefathers" (16). Yearsley's view echoes the intertextual critic's view that one form of literature influences and helps provide the foundation for other literary forms, but the view does not offer any cogent characteristics for the fairy tale.

Iona and Peter Opie in <u>The Classic Fairy Tales</u> state that the unbelievability is the primary characteristic of the fairy tale: "Although a fairy tale is seldom a tale about fairy-folk, and does not necessarily even feature a fairy, it does contain an enchantment or other supernatural protagonist during a period of stress. The hero is almost invariably a young person, usually the youngest member of a family, and if not deformed or already an orphan, is probably in the process of being disowned or abandoned" (15). While Iona and Peter

Opie stress that characters come from stock, the characters are either all good or bad and do not evolve.

Fantasy is also an important element in the fairy tale genre and must be noted as part of its definition. As I mentioned in Chapter One, Allienne Rimer Becker in her dissertation, The Fantastic in the Fiction of Hoffmann and Hawthorne, sees fantasy as a genre in and of itself. While this may be true, fantasy, undeniably, plays a key role in providing the enchantment that pervades the fairy tale. Becker defines the fantastic as "a literary mode characterized by a group of qualities: the bizarre, the strange, the wondrous, the unreal, the illusory, the capricious, the uncanny, the incredible, the grotesque, the extravagantly fanciful, the odd and irrational, the eccentric" (3). All of these qualities are in the fairy tale.

There are three critics, Vladimir Propp, Axel Olrick, and Max Luthi, who, together, give the most comprehensive definition of the fairy tale. Together, they give a view of the genre structurally, thematically, and aesthetically that seems the most complete.

According to Vladimir Propp in his Morphology of the Folktale, there are key characteristics which fairy tales follow, and he offers a structural definition of the fairy tale. Propp theorizes that fairy tales are centered on "functions." He defines a function as "an act of a character, defined from the point of view of its significance for the

course of action" (21). Propp identifies typical functions in a tale as being an interdiction, flight, or interrogation, among others. He makes four observations about functions. First, functions are "stable, constant elements" regardless of who performs the function. Second, "the number of functions known to fairy tale is limited" (21). Third, the "sequence of functions is always identical" (22). Finally, all "fairy tales are of one type in regard to their structure" (23).

Propp examines these functions in relationship to the dramatis personae of the tale. He devotes the bulk of his study to an examination of thirty one functions, and many of these have subcategories. I will summarize some of them so that the reader will be able to see how the description of the function evokes the image of the fairy tale. In function I, a family member leaves home (26). In function II, the hero is addressed with an interdiction (26). In other words, the character is admonished not to do something. In function III, the hero violates the interdiction (27). In function IV, the villain attempts reconnaissance. In function V, the villain learns about his victim (28). In function VI, the villain deceives his victim to capture him or his belongings (29). In function VII, the victim yields and therefore assists the villain unknowingly. In function VIII, the villain harms a family member (30). In function IX, "Misfortune or lack is made known; the hero is approached with a request or command; he is allowed to go or he is dispatched" (36). Propp continues

to trace the typical functions of the hero through his various ordeals until the hero encounters a helper or magic agent who assists the hero. Propp goes on to say that the hero must perform difficult tasks. He is ultimately triumphant and moves to another level of awareness and either returns to his home, as he was or becomes king. While Propp acknowledges that all functions do not appear in all tales, he provides an excellent means of discussing the structure of the folktale and the fairy tale. However, his observations focus on structure rather than theme or aesthetics. Nevertheless, his observations provide valuable insights into the tales.

Axel Olrik also offers a structural definition of the fairy tale in his essay "Epic Laws of Folk Narrative." Olrik identifies twelve laws that folktales or fairy tales have in common. The first epic law is the law of opening and closing. Olrik observes that the narrative "does not open with sudden action and does not end abruptly" (131). The tale opens with calm and moves to excitement and ends by moving from excitement to calm (132). "Once upon a time" and "they lived happily ever after" are the classic calm opening and closing. The second law is the law of repetition. According to Olrik, the tale establishes emphasis by repetition: "Every time that a striking scene occurs in a narrative, and continuity permits, the scene is repeated" (131). Olrik also discusses the importance of the number three with his third law. (I discuss the use of three in a bit more detail in endnote

nine.) While Olrik acknowledges that other numbers play a significant role in the tales, the law of three reigns supreme. He does identify the law of four but notes that this law is more frequent in tales from India. The next law that Olrik identifies is the law of two to a scene: "Two is the maximum number of characters who appear at one time" (134). This relates to the law of contrast: "Opposition is a major rule of epic composition: young and old, large and small, man and monster, good and evil" (135). Olrik also identifies the law of twins. This can be two actual twins or two characters in the same role. The sixth law is the importance of initial and final position: "Whenever a series of persons or things occurs, then the principal one will come first. Coming last, though, will be the person for whom the particular narrative arouses sympathy" (136). He also notes that unlike modern literature, which entangles various narrative threads, the folk narrative is "single-stranded" (137): "It does not go back and forth to fill in missing details" (137). The law of patterning is also evident in folklore: "Two people and situations of the same sort are not as different as possible, but as similar as possible" (137). Olrik observes that the folktale "peaks in the form of one or more major tableaux scenes" (138). These scenes "possess the singular power of being able to etch themselves in one's memory" (138). The tenth epic law is that of the folktale's logic: "the themes which are presented must exert an influence upon the plot, and

moreover, an influence in proportion to their extent and weight in the narrative" (138). The next law is that of unity of plot: "Each narrative element works within it so as to create an event, the possibility of which the listener had seen right from the beginning and which he had never lost sight of" (139). The twelfth law is "Concentration on a Leading Character" (139). According to Olrik, "protagonist and plot belong together" (139). Even when there are two characters, there is always a "formal protagonist" (139): "When a man and woman appear together, the man is the most important character. Nevertheless, the actual interest frequently lies with the woman" (139). Olrik's twelve laws offer touchstones by which to measure and discuss various folktales and fairy tales. However, his laws, like Propp's, deal more with structure than with theme. Nonetheless, these laws are at work in fairy tales.

Max Luthi gives the most comprehensive definition of the fairy tale. He finds the structure, style, theme, characters, and objects of the genre beautifully symmetrical. Luthi claims that "The style of the fairytale[8] has the beauty of the clear, the definite, the orderly--the beauty of precision" (The Fairy Tale as Art Form and Portrait of Man 40). This beauty is evident at all levels. The fairy tale has a linear line of action: characters leave home, fight dragons, enter forests, enter castles, and return. The objects of the fairy tale, Luthi notes, are precise and definite: "Objects of iron,

stone, or glass have sharper contours and are clearer in form than organic materials, and the same is true of copper and silver forests in comparison with real forests" (The Fairy Tale as Art 41).

While Luthi sees beauty as the fundamental thrust of the fairy tale, he also establishes specific characteristics for the fairy tale in The European Folktale: Form and Nature. His commentary may be helpful in establishing an extended definition of the fairy tale. Luthi establishes five characteristics of the folktale or fairy tale: (1) one-dimensionality; (2) depthlessness; (3) abstract style; (4) isolation and universal interconnection; (5) sublimation and all inclusiveness. He often uses the terms interchangeably, and often other words would more clearly illustrate the ideas.

Luthi's first characteristic is one-dimensionality. The term suggests limited character development, but this is not what Luthi means. Luthi means that the supernatural and human characters exist on the same plane. The human characters in the story encounter a supernatural event or character and act as if nothing unusual has happened, as if the supernatural is an ordinary experience. Luthi points out that the "witches, fairies, clairvoyant women, the grateful dead, trolls, giants, dwarves, good and evil sorcerer, dragons, and mythical animals" exist along with the hero "as though he perceived no difference between them and him" (The European Folktale 6). Luthi remarks that the hero is unaware of any difference

between them: "They are important to him as helpers or adversaries, but in themselves they have no interest" (6). This supernatural figure usually takes what Propp calls the role of helper or magic agent.

For example, in the Grimms' "Rumpelstiltskin" the miller's daughter is asked to spin straw into gold, a skill which she does not possess. A little man enters as she bemoans her plight and offers his assistance. This little man becomes the maiden's helper or magic agent. His assistance adds an element of fantasy, the bizarre, the strange, the magical, as Becker terms it. With the promise of a necklace as payment, Rumpelstiltskin promptly spins the straw into gold. There is no sense of wonder or disbelief on the part of the characters at the little man's ability. The miller's daughter accepts the feat as perfectly natural. The greedy king enlarges the amount of straw when he sees what the miller's daughter has accomplished. Rumpelstiltskin appears a second time and spins the straw into gold for the maiden's ring. Once again, and for the third time, the king enlarges the amount of straw to spin, and Rumpelstiltskin accomplishes the task but this time for the promise of the maiden's first born child. The maiden agrees. The king rewards the maiden for her abilities by marrying her, and a child quickly follows. Rumpelstiltskin appears to claim the child. When the new queen recoils, the little man states that he will not take the child if the queen can tell him his name. The queen happens to be in the forest

at the precise moment that Rumpelstiltskin is dancing around a fire singing his name. The queen overhears, announces the name, and saves her child. The relationship between the queen and Rumpelstiltskin proves Luthi's first characteristic. The magical, supernatural character is on the same plane as the maiden. There is no distinction between the two. The maiden does not find it unusual nor does the reader. This seamless union is what Luthi means by one-dimensionality.

Luthi's second characteristic is depthlessness. The characters have no substance, no inner life, no depth. The folktale "lacks the dimension of depth. Its characters are figures without substance, without inner life, without an environment; they lack any relation to past and future, to time altogether" (11). The characters do not suffer the usual maladies and have no emotional or psychological depth (11). "Depthlessness" is an odd term to use when Luthi seems to mean that the characters are undeveloped or sketchy. For example, in "Snow White" the main character of the same name is depthless. She has no substance as a character. She is an undeveloped character. She can be summarized with the qualities of purity, innocence, and goodness, and that is all. She exists for the sole purpose of acting as a contrast to her evil, jealous stepmother, who uses Snow White's beauty as a measure of her own. Snow White is not portrayed as a complex, complicated human being, nor do we see her grappling with a variety of complex issues. Moreover, Snow White has no

history. We know very little about her family, the name of the country where she lives, nor what she will do after she marries the prince. The characters are important for what they represent.

Luthi's third characteristic of the fairy tale is its abstract style. A better term for what Luthi discusses is formulaic style. In other words, the fairy tale uses certain conventions, such as descriptions, primary colors, numbers, and stereotypical characters. Luthi claims that an "ugly old hag," "old witch," and "a young boy" are typical descriptions and typical types (25). He claims, also, that fairy tales use primary colors: "gold, silver, red, white, black, and sometimes blue as well" (27-28). Like character types, colors emphasize contrast. Finally, Luthi notes the recurrence of certain numbers: twos, threes, sevens, or twelves, "numbers of firm definition and originally of magic significance and power" (32).[9] For example, there are fifteen tales in Jack Zipes's edition of the Grimms' fairy tales with "three" in the title. There are four tales listed with "twelve" in the title. There are four stories with "two" in the title. There are two stories with "seven" in the title.

"The Three Daughters and the Frog King" illustrates how conventions work. The tale centers on a king with three daughters. The king is sick and requests that his daughters bring him water. The oldest daughter goes to the well and draws water which is murky. A frog appears and says that if

she will be his darling, he will make the water clear. The older daughter pronounces the frog nasty and runs away. The second daughter repeats the task, and the same thing happens. The third daughter goes to the well and agrees to the request the frog makes in order to make the water clear. She figures that a dumb frog will not hold her to her promise. However, the frog visits her that night and joins the daughter in bed, lying near her feet. He leaves the next morning and returns that night and does the same thing. On the third night, the frog visits once again and sleeps under the pillow. The next morning the daughter awakens to find a prince, who had been released from an enchanted spell because the daughter agreed to be his darling. The king gives them their blessing, and the two are married.

The tale is formulaic in a number of ways. There are three daughters who visit the well three times. There are three visits from the frog. The promise is a typical fairy tale formula. The daughter agrees to be his darling and does not falter. Because she keeps her word, she is rewarded with a prince and marriage. The tale is also true to formula with the use of the king, princesses, and the prince. The focus is on theme and action as opposed to the characters who convey that theme and perform that action. The formulas sustain that theme.

The fourth of Luthi's characteristics is isolation and universal interconnection. The terms seem to be contradictory,

but the ideas work in tandem. "Isolated human beings and isolated otherworld beings meet, associate, and part; there is no sustained relationship between them. They only interact as participants in the plot and are not linked by any real and thereby lasting interest" (37). Luthi adds that "each episode stands alone. Individual elements need not relate to each other" (38). It is characters and episodes that are isolated in the narrative. Each is independent and stands apart from the other. By contrast, Luthi illustrates that "in a realistic story with psychological depth this would be a shortcoming. Within the framework of the folktale it is a perfectly logical consequence of the abstract and isolating style" (42).

Interconnection works in conjunction with isolation despite the seeming contradiction. "Isolation and the potential for universal interconnection are two correlates. It is not in spite of their isolation but because of it that folktale characters are capable of establishing contact with any other character" (54-5). Folktale characters are free "to establish the ties that are required by the situations in which they are placed" (55). These situations ultimately interconnect, intertwine the episodes and the characters. Another way that this interconnection is accomplished is through the hero:

> The heroes of the folktale meet the right helpers and press the right button to obtain help, whereas the antiheroes frequently do not encounter any helper, and if they do, they react wrongly and forfeit the gift. The hero is the lucky one. It is as if invisible ties linked him with the secret powers or mechanisms that shape the

world and fate. Without his being aware of it, his
behavior is shaped by cogent laws. As though drawn by a
magnet, he, the isolated one, pursues his confident
course and follows the precise line of conduct that the
framework of his cosmos demands of him. (57)

The hero in his isolation interconnects with other beings in

the tale, thus the isolation and interconnection: "At the very

moment when heroes act in total isolation, they unknowingly

find themselves at the point of intersection of many lines and

blindly satisfy the demands that the total structure places on

them. They think only of others, and thus they reach their own

goal" (64-5).

Luthi contends that the fairy tale always has as its

focus the hero, and it is for this reason that Luthi considers

the fairy tale a humanistic genre, because the human is

essentially isolated and must interconnect with others to

survive. The hero exhibits certain characteristics: he is

usually young and isolated, at a loss as to how to overcome

his plight: "The fairytale hero is in this way . . . a general

reflection of man, a being that has in fact been described by

contemporary biologists and anthropologists as a deficient

creature without specific abilities" (The Fairy Tale as Art

137). Luthi sees an irony in humankind and other species.

Because of its ingenuity and technology, humankind can

supersede other life forms, but, ironically, humankind is one

of the most helpless species because humans have to rely on

others for survival. By being isolated, the human hero is open

to more possibilities, situations, and helpers. However, Luthi

stresses that the hero is not necessarily lonely. The isolation enables the hero to enter what Luthi calls different "constellations" (138). Luthi observes that the human is not the master of his or her fate. Because of this the human has to rely on others: "His dependence on help from without, especially from otherworldly sources, is parallel to what is referred to in theology as grace" (139). We observe the hero through his various complications and detours and these create the action of the tale. In most fairy tales the detours turn out to be good for the hero in the end. It is for these reasons, Luthi states, that the fairy tale offers us a portrait of man: "He is capable of transformation and development; he can be successful and he can fail; he can be the savior or the destroyer of others, and he must allow himself to be saved and be harmed by others. He can be rescuer and he can be rescued" (150).

An example from the Grimms illustrates Luthi's fairy tale characteristic of isolation and interconnection. In "Hans My Hedgehog" the story is loosely organized around a couple wanting a child so desperately that the father says he would be happy even if the child were a hedgehog. He gets his wish. The child is half boy and half hedgehog, and the couple call him Hans. One day, the father goes to a fair in town and brings back bagpipes for his son as requested. The son later asks his father to shoe his rooster and says that he will ride away, never to return. The father gladly complies. Hans plays

his bagpipes in the forest while sitting in a tree, and a king, who is lost, hears the melodious sound. Hans says that he will show the king the way if the king will place in writing that Hans can have the first thing that he sees when he enters the king's kingdom. The king agrees. Hans first sees the king's daughter when they enter the kingdom. However, the daughter refuses to accept Hans if he returns. Hans is once again in the forest tending his pigs and donkeys and another king happens by also lost. Hans strikes the same deal. However, this daughter says that she will go with Hans whenever he returns. Hans tends his donkeys and pigs and returns home with his menagerie. Hans leaves his home again to claim his bride. At the first kingdom, the princess refuses Hans. At the second kingdom, the princess does as she promised and agrees to marry Hans. After the wedding ceremony, Hans and the princess go to bed, but she is afraid of Hans's "phallic" quills. During the night, Hans slips from his hedgehog skin which is burned, and Hans becomes human.

Hans is isolated in a number of ways. He is isolated because he is an orphan. He is isolated when he leaves his family, who is happy to be rid of him because of his appearance. However, because of his actions, which connect the story, he becomes human. The events of the story barely hang together. The motivation for action seems forced. However, despite the capricious motivation for action, all works out as it should because the tale's purpose lies not in seeing that

a childless couple has a child but in seeing that a young boy interconnects with others by offering assistance. Because he offers grace to another human, the princess fulfills her promise, thus making Hans human. This is significant because it clearly supports Luthi's notion of the fairy tale as a portrait of man. Hans and the princess are dependent upon each other. He must wait for her to fulfill her promise before he can become a human being. Love fulfills the promise to another which makes us fully human. Despite the isolation of the characters and the action, all is interconnected. As Luthi says, "As though drawn by a magnet, he, the isolated one, pursues his confident course and follows the precise line of conduct that the framework of his cosmos demands of him" (57).

Finally, Luthi's fifth characteristic is sublimation and all-inclusiveness. These are vague, amorphous terms. Luthi seems to mean by them that the fairy tale has elements of reality. Writers have sublimated or incorporated motifs from everyday life--courtship, marriage, orphanhood, childlessness--into the stories as well as elements of the supernatural, making the tales all-inclusive or universal. For example, the tales which I have discussed above deal with the most farfetched circumstances: spinning straw into gold, sleeping for a hundred years, finding carpets, rings, and beautiful maidens to prove one's worthiness of inheritance, sleeping with frogs, and being half human and half hedgehog. However, each of the stories includes the important components of life:

love, patience, truth, marriage, children, loyalty. These "realistic" qualities are the most important components of the stories. Everything else is the drapery of the tale.

Each of Luthi's characteristics illustrates an important component of the fairy tale. However, one-dimensionality, where the human character exists along side the supernatural or magical character, seems to be the most important characteristic of the fairy tale. The element of enchantment, magic, or wonder is the fairy tale's most distinguishing feature. However, it is the reader who attaches this enchantment or magic to the character and not the characters in the stories. They accept it as perfectly natural.

Luthi's terminology is repetitious and may be a bit confusing. For example, one-dimensionality is typically used to describe a character who is not well developed in a narrative. However, Luthi uses depthlessness for that kind of character. "Depthless" sounds as though the characters are floating in outer space. "Abstract" is also a poor choice when "formula" is more appropriate, and sublimation and all-inclusiveness are particularly non-descript. However, the terminology can be summarized succinctly in ordinary language. Luthi stresses that the fairy tale is a narrative that is theme driven with an element of enchantment. The theme, which is timeless and universal, is reflected through the action, which gives the tales their unity and structure. The characters, who perform the action, have a universality

because they are flat and have few characteristics. In addition to human characters, there are characters who are magical and supernatural. However, the characters in the story do not acknowledge that they are magical or human. It is for these reasons that the fairy tale written in India, China, or Germany appeals to all readers. Luthi points out that the fairy tale uses enough everyday objects and situations to give an element of reality, but the tale has enough magic with its stories of princes, princesses, wishes, and gold to underscore its major theme--beauty.

Even though Luthi does not have beauty as one of the major characteristics of the fairy tale, he devotes an entire book to the study of the idea in <u>The Fairy Tale as Art Form and Portrait of Man</u>, and it could easily count as a sixth characteristic. Luthi stresses that the fairy tale's primary focus is the beautiful. He claims that "the style of the fairytale has the beauty of the clear, the definite, the orderly--the beauty of precision" (<u>The Fairy Tale as Art Form and Portrait of Man</u> 40). This beauty is evident at all levels of the tale from narrative line, to characters, to objects. The fairy tale has a linear narrative line of action: characters leave home, fight dragons, enter forests, enter castles, and return. A number of stories have <u>beau</u> or <u>belle</u> in their titles. He offers "Le Beau Magicien d'Afrique" as an example. "Beauty and the Beast" is another example. The objects of the fairy tale, Luthi notes, are precise and

definite: "Objects of iron, stone, or glass have sharper contours and are clearer in form than organic materials, and the same is true of copper and silver forests in comparison with real forests" (41). That which is beautiful is not characterized in explicit terms, thus forcing the reader to rely on his or her own imagination to fill in the details (3). Luthi contends that we see the effect of beauty rather than a description of beauty (3). Because beauty is so marvelous, Luthi stresses, it has a shocking effect. Beauty is the mysterious entity in the story, the unusual quality, that which is unknown. It is this unusual quality which produces the shock effect. Beauty is so powerful that people faint at the sight of it, Luthi says (7).

It is the beauty of the human spirit and its ability to transcend whatever dragon confronts it that brings readers back to the stories again and again. This beauty is apparent at all levels of the tale: character, structure, theme, and content. It is this theme of beauty which has made the genre timeless.

III.

Before my examination of the fairy tale elements in the short works of Nathaniel Hawthorne, I wish to offer my own structural and thematic definition of the fairy tale. I have drawn my definition from the critics discussed above as well as from my own reading of fairy tales. It will be this definition that I apply to some of Hawthorne's short works. I

will discuss specific fairy tales to illustrate my definition. I will focus on the following fairy tale characteristics: (1) precise organization, including certain kinds of openings and closings; (2) magical characters; (3) symbolic or allegorical characterization; (4) formulas; (5) point of view; (6) particular themes: love, friendship, beauty, and violence.

The first characteristic of the fairy tale is the fairy tale's organization, which is precise and definite. Structurally, the fairy tale is a rather brief tale with a precise beginning, middle, and end; each has a specific purpose. The openings remove the reader from reality at the beginning of the story by placing him or her in some never-never land and then restoring the reader to the same reality by announcing that the principals live happily ever after at the end of the story. This is what Olrik calls soft openings and closings. Between the opening and closings, there is an unmistakable conflict and a resolution of that conflict. The conflict is usually related to the contrasts in the story. This contrast can be between good and evil, smart and stupid, pride and humility. It is such an integral part of the narrative that Olrik calls it the law of contrast, as though a story without it is in violation of some narrative code (135). Vladimir Propp sees this narrative code as being made up of functions, precise, definable movements that the dramatis personae make through the story. These narrative functions are held together by magical and supernatural

qualities. Luthi claims that the supernatural characters and human characters exist on the same plane without discernible distinction, thus making the magic and the wonder a natural and integral part of holding the beginning, middle, and end of the narrative together.

An examination of a fairy tale's structure will illustrate this. In "The Frog King, or Iron Heinrich," the Grimms tell a tale of a young girl who makes a promise to a frog if he will retrieve her golden ball; the frog forces the child to make good on that promise; when she fulfills her promise, the frog turns into a prince, and they marry. The story begins in typical fairy tale fashion: "In olden times, when wishing still helped, . . ." (2); the story ends, "for he knew his master was safe and happy" (5). The conflict lies in the contrast between an innocent young girl (the youngest daughter) and a repulsive frog. This contrast and the witch's spell on the prince give the story its supernatural or magical quality. The frog asks, "But if you love me and let me be your companion and playmate, and let me sit beside you at the table, eat from your little golden plate, drink out of your little cup, and sleep in your little bed--if you promise me all that, I'll dive down and retrieve your golden ball" (2). The fact that the frog can speak and hold conversation with the young girl cements the one-dimensional quality that Luthi sees as being typical of the fairy tale. About as much is made of the princess's ability to talk as the frog's. She agrees to

all that the frog stipulates, then reneges when the frog presses her. However, when the frog insists that he share her bed, she throws the frog against the wall, and he turns into the prince, thus breaking the witch's magic spell. The tale is made up of six functions or movements: (1) The princess loses her golden ball in the well, and the frog offers to retrieve it under certain conditions, and she agrees. (2) The frog visits the princess to take her up on her promise. (3) The frog shares dinner with the princess. (4) The frog shares the princess's bed. (5) The princess throws the frog against the wall, and he turns into a prince, thus breaking the witch's magic spell. (6) The princess and prince marry, returning to his kingdom. The tale comes to its happy end when Faithful Heinrich, the prince's coachman, breaks the three iron bands which the coachman ordered wrapped around his own heart when the witch cast the spell. The structure of the tale is typical of the fairy tale. There is a precise line of action from beginning to end, involving one or two characters embroiled in one conflict with one resolution. Stith Thompson observes in Funk & Wagnall's Dictionary of Folklore Mythology and Legend that "The fairy tale is full of commonplace expressions and motifs which tend to be used in other tales and to be a part of the general style of the story-teller" (365-6). The kind of structure evident in "The Frog King, or Iron Henrich" is typical of other fairy tales as well.

A second characteristic of the fairy tale is that there is usually a supernatural or magical character present, who assists the hero. The magical characters, what Propp defines as helpers, help the human characters succeed in their quests. Luthi refers to the same idea as one-dimensionality.

A third characteristic of the fairy tale is symbolic or allegorical characters. Typical fairy tale characters--a child, an adult, merchant, farmer, huntsman, weaver, maiden, prince, princess, queen, king, baker, tailor, witch, wizard, and animal--are usually symbolic or an allegorical represen-tation of some abstract idea, such as innocence, goodness, greed, or evil. The characters are usually nameless, with a few exceptions, which gives them a universality. Iona and Peter Opie in <u>The Classic Fairy Tales</u> assert that "The hero is almost invariably a young person, usually the youngest member of a family, and if not deformed or already an orphan, is probably in the process of being disowned or abandoned" (15). The most important character is the hero. The fairy tale is a hero-based genre and is usually the focus of the tale. Significantly, the hero is not all-powerful, but, rather, appears quite vulnerable, especially since he or she must rely on the help of others in order to be successful, which reminds us of Luthi's idea that the human, while capable of great ingenuity, is in many respects helpless. Simpleton, Little Red Riding Hood, Sleeping Beauty, and Snow White are all examples of characters whose names as well as natures convey an

allegorical meaning and thus the theme of this hero-based genre.

A fourth fairy tale characteristic is the use of certain formulas or fairy tale conventions. There is extensive use of numbers such as two, three, and seven. However, three seems to take precedence. Characters typically have three wishes. Also, there are typically three tasks to be preformed. Another convention is the use of primary colors such as red, black, blue, and yellow. There is also frequent use of precious substances such as gold, diamonds, or crystal. The fairy tale's focus is on antipodean values. Anything that creates contrast or opposite is part of the fairy tale formula.

A fifth fairy tale characteristic is the angle or point of view from which the story is told. The point of view of the fairy tale is usually third person objective. It is a distinctive characteristic because it is usually the same. Laurie Kirszner and Stephen Mandell in <u>Literature: Reading, Reacting, Writing</u> write that

> With objective narrators, events unfold the way they would in a play or a movie. Narrators tell the story only by reproducing descriptions of the action. They do not present the thoughts of characters or offer insight into their actions or motivations. Thus they allow readers to interpret the actions of the characters without any interference. (179)

Kelley Griffith in <u>Narrative Fiction: An Introduction and Anthology</u> agrees when he writes, "authors of tales tell us a great deal about what happens to characters but very little about what goes on inside the characters' minds" (370). The

fairy tale point of view tends to distance the reader from the character, placing a greater emphasis on what the character does than how the character feels. By contrast, the omniscient point of view would allow us entry into the characters' minds, and, thus, alter the perspective the reader has on the action.

A fourth fairy tale characteristic is the use of certain formulas or fairy tale conventions. There is extensive use of numbers such as two, three, and seven. However, three seems to take precedence. Characters typically have three wishes. Also, there are typically three tasks to be performed. Another convention is the use of primary colors such as red, black, blue, and yellow. There is also frequent use of precious substances such as gold, diamonds, or crystal. The fairy tale's focus is on antipodean values. Anything that creates contrast or opposite is part of the fairy tale formula.

A sixth fairy tale characteristic is that certain themes are pervasive in the fairy tale genre. Thematically, fairy tales deal with the archetypal themes of lost innocence, quest, rites of passage, patience, and unrequited love. The most important part of the story is its theme. Love triumphs; virtue is rewarded; evil is punished; patience prevails. This is one significant point where the fairy tale and the realistic or naturalistic story differ. The fairy tale typically ends with all things working out as they should.

A typical fairy tale theme, and the most pervasive according to Luthi, is beauty. Beauty can be conveyed in a

number of ways. Many times the tales have as their main character a beautiful young maiden in search of a prince. "Beauty and the Beast" is an obvious example. Other stories focus on beauty in disguise or unrecognized, such as "Cinderella." Still other stories deal with characters who are locked away because of their beauty. "Rapunzel" and "Brier Rose" are examples. Stories also deal with beauty in other ways. The beauty of friendship or familial relationships exists in "Hansel and Gretel" and "Snow White." This also underscores the humanistic quality in fairy tales because the tales always stress that we must rely on one another for success. Luthi stresses that beauty also exists in the narrative line of the fairy tale with its precise organization and plot structures as well as the kinds of objects in the tales, diamonds, gold, formulas, and primary colors. In character, theme, and symbol, the fairy tale focuses on beauty.

An illustration of how typical fairy tale themes and formulas work together is the Grimms' "The Three Feathers." The story, told from the third person objective point of view, deals with three sons, who are typical stock characters. Two are "bright and clever" (254), and the third is called Simpleton "because he did not speak much and was naive" (245). This is type of contrast is formulaic. The very name offers his characterization, and since the character has a name this automatically focuses the reader's attention on the character

to watch most closely. The use of the formulaic three is also at work here with the three sons and the three tasks. The king, thinking about which son will succeed him after his death, gives the sons a task. This is a typical fairy tale formula, a test to determine which child is worthy of the inheritance. When the bright and clever sons fail to deliver, they ask for more tasks. One task is to bring back a carpet; the second task is to bring back a ring; the third task is to bring back the most beautiful woman in all the kingdom. The use of three tasks is also a typical way to convey the theme, as are three wishes. To begin the tasks, the king lets loose three feathers. Each son is to follow the feather wherever it flies. Simpleton's feather does not fly far. Nevertheless, it does fall near a trapdoor. A fat toad leads the young boy to a beautiful carpet. Simpleton does the very same thing for the second task, and the fat toad gives him a ring. Simpleton repeats the same procedure for the third task. The fat toad gives the young boy a yellow turnip and six mice harnessed to it. A little toad crawls inside the turnip and becomes a beautiful woman; the turnip becomes a coach, and the mice become horses. The older brothers had not exerted themselves during any of the tasks; however, they insist that there be one last challenge. They want the women (the older boys had brought the first two peasant women they could find) to jump through hoops. The peasant women stumble, but Simpleton's beautiful friend jumps "as gracefully as a deer" (256).

Simpleton receives the crown because of his perseverance. Simpleton's rite of passage is complete. He has proved himself worthy because of his ingenuity. His lazy brothers are punished; virtue is rewarded. The focus of the story is the theme, the moral, the lesson. The story teaches the lessons of perseverance and hard work. The person who accomplishes these tasks and the circumstances under which he accomplishes them is not important because the same theme is evident in dozens of fairy tales.

Another typical theme of fairy tales is extreme violence. Luthi states in Once Upon a Time: On the Nature of Fairy Tales that "the fairy tale's predilection for cruelty results from its attempt to give everything the clearest and sharpest possible form" (73).[10] Fairy tales contain some of the most graphic depictions of violence imaginable. For example, in "The Goose Girl" the chambermaid switches places with the princess en route to meeting her bridegroom. The chambermaid has the princess's horse's (Falada's) head cut off, but the true princess asks that the head be hung in the dark gateway. The king becomes suspicious when he notices that the horse's head speaks to the true princess as she passes through the gateway each day. The chambermaid is eventually discovered. However, prior to this discovery, the king asks the imposter how she would punish someone who usurped the role of the princess. The chambermaid proudly announces her verdict: "'She deserves nothing better,'" said the false bride, "'than to be

stripped completely naked and put inside a barrel studded with sharp nails. Then two white horses should be harnessed to the barrel and made to drag her through the streets until she's dead'" (327). The chambermaid has just pronounced her own sentence.

Another example of violence occurs in Charles Perrault's "Blue Beard." Blue Beard has forbidden his new bride to enter a small room at the end of a hallway while he is away. Naturally, she disobeys the interdiction and enters the room. The key retains the tincture of blood, which alerts Blue Beard to the trespass. In the small room is the horrible consequence of Blue Beard's violence: "At first she saw nothing, for the windows were closed, but after a few moments she perceived dimly that the floor was entirely covered with clotted blood, and that in this were reflected the dead bodies of several women that hung along the walls. These were all the wives of Blue Beard, whose throats he had cut, one after another" (36-37).

Despite such violence and the presence of witches and other enchanted characters, despite the fact that the fairy tale does not deal with a specific place or time, despite the presence of stereotypical characters, the fairy tale's importance lies in the emotion it portrays. The fairy tale genre deals graphically with loss, isolation, depravation, abandonment, love, anguish, inferiority, arrogance, bravery, and courage in a concentrated way. The tale takes the reality

of emotion and imbues it with unreality. The usual components of narratology--plot, conflict, character, rising action, falling action, climax, and denouement--are only the frame for emotion.

By way of summary, I will examine one fairy tale, using my characteristics of the fairy tale discussed in this last section. The Grimms' "Faithful Johannes" has typical fairy tale organization, symbolic and magical characters, and themes of beauty and violence, although in this particular story there is more of a potential for violence than actual violence.

"Faithful Johannes," told from the third person objective point of view, has a precise, definite organization. Structurally, the tale follows what Olrik calls the law of opening and closings, meaning that the tale does not open or close with sudden action. It begins and ends softly. The typical soft opening is "once upon a time," and the typical soft closing is "they lived happily ever after." "Faithful Johannes" begins "Once upon a time" (22) and ends "they all lived happily together until the end of their days" (28). This opening gently lulls the reader into the fairy tale world and gently ushers him or her out. After the soft opening, the narrator immediately establishes a contrast between the faithful servant Johannes, who can be trusted, and the king's youthful son, who cannot. The use of contrast is so typical of the fairy tale that Olrik calls it the law of contrast.

Because the new king cannot be trusted, the old king tells Faithful Johannes to take care of the new king. With the king's instructions comes what Propp calls the interdiction where a character is admonished not to do something. The king tells Faithful Johannes to show his son around the castle but to not show him the room at the end of the long hallway where the Portrait of the Princess of the Golden Roof hangs. Propp identifies this interdiction as the first narrative function or narrative movement. According to Propp, the characters will go through a number of functions before the plot is resolved. It is the interdiction which sparks the readers' interest because we know the new king will want nothing more than to see in the forbidden room. This marks the beginning of the story and the first function. When the young king insists upon entry into the room, he is immediately struck unconscious upon seeing the portrait: "When he glimpsed the maiden's magnificent portrait, which glistened with gold and jewels, he fell to the ground unconscious" (23). The beauty is so overwhelming that the new king collapses in its presence. This also initiates the action of the precise plot because we will see the working out of the new king's quest for this beauty.

This collapsing before the beautiful is an important characteristic of the fairy tale and illustrates one of the themes of "Faithful Johannes." This interest in the beautiful is what Luthi calls in The Fairy Tale as Art Form and Portrait of Man the aesthetic characteristic of the fairy tale (3).

While the focus on the fairy tale is on the extreme and the beautiful, Luthi sees beauty as the most fundamental tenet of the fairy tale in structure and theme. Luthi also points out that there is a good deal of emphasis on precious metals, for example, gold. Luthi points out that gold, and other substances such as silver and glass, frequently appear in fairy tales because of their beauty. Such is the case in "Faithful Johannes." The portrait glistens "with gold and jewels." Seeing the portrait ushers in the conflict of the story. What hold does this portrait have over the young king and how will he react to this spell? The young king has immediately fallen in love with the woman in the portrait and insists on finding her. This stimulates his quest, which initiates the functions that follow. He will find her, kidnap her (thus the violence), and she will eventually fall in love with him. Fulfilling the quest for this beautiful woman and marrying her completes the theme.

Another theme of the story centers on the loyalty of Faithful Johannes to help the new king marry the Princess of the Golden Roof. Faithful Johannes performs his role admirably.

The characters fulfill their typical fairy tale roles. The old king is dying and wants Faithful Johannes to instruct his son on the ways of the world. Faithful Johannes immediately becomes the young boy's helper. Vladimir Propp claims that most fairy tale characters have a helper to guide

them through their ordeals. While Faithful Johannes is human, he has a decidedly magical quality because he can communicate with the ravens and understand what they prophesy. This illustrates Max Luthi's first characteristic of the fairy tale, one-dimensionality. The supernatural characters exist on the same plane as the human character and form a magical relationship with the human characters. The ravens tell Faithful Johannes that the young king will want to ride a horse that trots up to him. If he does, the horse will whisk him away, and he will never see his maiden again. Johannes jumps on the horse and shoots it. Next, the ravens predict that the young king will find a bridal outfit in a basin in the castle. If he puts it on, the sulfur and pitch, the materials of the outfit, will burn the king. Johannes intervenes and throws the outfit into the fire. Finally, the ravens prophesy that after the wedding, the new queen will faint. If no one lifts her up, sucks three drops of blood from her right breast, and spits them out, the queen will die. We have here the potential for violence, but in this story it is averted because of Faithful Johannes's actions. As Luthi stresses with one-dimensionality, there is no attention drawn to the magical qualities that the character might possess. These qualities exist without explanation. The story revolves around kings, princes, and faithful servants, typical of the type of characters in fairy tales.

In addition to the one-dimensionality, the magical rela-
tionship, that exists between Johannes and the new king, the
tale has other fairy tale characteristics. The characters are
depthless and abstract. The characters are depthless in the
sense that they have no past and no future. They have no inner
life other than what the story requires. The characters are
also abstract. Neither the old king nor the new king is ever
given a name. Other characters are rarely named and are given
very few characteristics. Only Faithful Johannes and the
princess are given names. Faithful Johannes, as the name
suggests, is faithful to the old king as well as to the young
king. His name indicates his allegorical function in the
story. Johannes is thematically linked to faith and loyalty
while the young king is thematically connected to youth and
naivete. The characters are isolated but inter-connect because
of the hero's action. Significantly, there is little
connection between one generation and another, except for the
admonition that the father makes that initiates the plot.
Finally, the story exemplifies the trappings of everyday life:
deaths of family members, orphanhood, courtships, and
marriage. "Faithful Johannes" includes all of these.

The Grimms' "Faithful Johannes" fulfills the characteris-
tics that I have established in this chapter. The story is
precisely organized. It has typical fairy tale themes, beauty
and faithfulness. These themes also reinforce the humanistic
qualities of the tale, where one character must rely on

another. Some characters are human and magical, and some are typically flat. However, aside from the kidnapping, this particular tale averts the usual violence of most tales.

From the tales' inception hundreds of years ago through Chaucer and Boccaccio through Shakespeare through Perrault through the Grimms even to modern times with tales such as <u>The Wizard of Oz</u> to a modern day version of "Cinderella" in <u>Pretty Woman</u> to Stephen Sodheim's <u>Into the Woods</u>, the fairy tale as a genre has had what seems the most longevity of any genre in any language. The tale is for the child and the child in all. It is my wish to build on this definition by exploring how the fairy tale genre is related to the nineteenth-century short story in general and to Nathaniel Hawthorne's short stories in particular.

CHAPTER II
ENDNOTES

1.Iona and Peter Opie in <u>The Classic Fairy Tales</u> record that the <u>Panchatantra</u> (the Five Tantras or Books) which dates back to the third century A.D. is one of the most famous Hindu collections of fairy tales. It was known to English readers as the <u>Fables of Bidpai</u> (or Pilpay) (18). The collection contains tales similar to "The Three Wishes" and "Puss in Boots." The Opies note that one thousand years ago Indian folk tales were assembled in <u>Katha Sarit Sagara</u> (Ocean of Streams of Story) by Somadeva, a Kashmir Brahmin. The stories contain elements similar to Western fairy tales. <u>The Arabian Nights'</u> <u>Entertainments</u>, according to the Opies, also played an influence on Western fairy tales. Straparola's <u>Le piacevoli</u> <u>Notti</u> (The Delightful Nights) was the earliest European collection to include fairy tales. The most influential collection before Perrault's is Giambattista Basile's <u>Lo Cunto</u> <u>de li Cunti</u> (The Tale of Tales), made up of five volumes over three years, 1634-1636 (20).

2. While Charles Perrault is not the first French fairy tale writer (Mme d'Alnouy wrote "Isle de la Felicité" in 1690), his influence is significant in the development of the fairy tale as we know it. In addition, many of his stories also appear in the Grimms' version of their fairy tales. No doubt one of the main influences on Perrault was the court of Louis XIV. Francois Fenelon, Louis XIV's teacher, liked fairy

tales for their educational value (Barchilon and Flinders 79-80).

There are other French fairy tale writers. In addition to Madame d'Aulnoy, who wrote such stories as "Goldylocks" and "The White Cat" in 1699, others include: Madame de Beaumont, who wrote the version of "Beauty and the Beast" that became the standard English version, and Madame Gabrielle-Susanne de Villeneuve, who wrote a version of "Beauty and the Beast" that was 362 pages long.

Many scholars feel that it is Madame d'Aulnoy's Contes des fées which gives us the phrase fairy tales.

3. Perrault is also responsible for Contes de ma mère l'Oye or Mother Goose's Tales (Barchilon and Flinders 79-80).

4. The first English translation of Perrault's tales appeared in 1729; in German in 1746; in America in 1794 (Barchilon and Flinders 90-91).

5. All references to Charles Perrault's fairy tales come from Perrault's Fairy Tales, trans. by A. E. Johnson, New York: Dover, 1969. "Ricky of the Tuft" also is one of Perrault's most satisfying tales because the magic is based on perception. Ricky is "ugly and misshapen" (81). The tuft is a reference to the thatch of hair on his head. In a nearby kingdom, a queen gives birth to two daughters. The first is beautiful but has "no sense at all" (82). The second is ugly but has "much good sense" (82). The queen wants her first child to have intelligence and pleads with the fairy who has

had a hand in the disparity to work her charms. The fairy says that she can do nothing about the lack of intelligence, but she bestows upon the beautiful daughter "the power of making beautiful any person who shall greatly please her" (82). However, it is the smart, though ugly, sister who receives all the attention. The daughter with no sense meets Ricky the Tuft, who is ugly. Ricky can bestow good sense on the person whom he loves the most. They agree to marry in one year. During the delay, the beautiful daughter meets a rich, witty, and handsome man. She almost forgets Ricky of the Tuft until she encounters him again in the woods and remembers her promise. Ricky states that if she truly loves him his ugliness will not matter: "It lies in your power to make me the most attractive of men" (88). Love brings the transformation: "They say that the princess, as she mused upon her lover's constancy, upon his good sense, and his many admirable qualities of heart and head, grew blind to the deformity of his body and the ugliness of his face; that his humpback seemed no more than was natural in a man who could make the courtliest of bows, and that the dreadful lump which had formerly distressed her now betokened nothing more than a certain diffidence and charming deference of manner" (88-9). The characters are as they were in the beginning of the tale. It is perception through the eyes of love which has altered the reality, and thus the moral.

6. Louis Untermeyer reveals in his "Forward" to <u>Grimm's</u> [sic] <u>Fairy Tales</u> that the brothers were interested in offering a scientific examination of German folktales. Untermeyer writes: "Although they have been read and relished by millions of children throughout the world, the tales were not originally aimed at the young. On the contrary, they were a small part of the scholarly research undertaken by two brothers whose chief pride was their establishment of Grimm's law, which is the law of the correspondence and permutation of consonants in Indo-German and other Aryan languages" (v). The brothers spent thirteen years gathering the tales from various locales. Jack Zipes indicates in his edition of <u>The Complete Fairy Tales of the Brothers Grimm</u> that there were seven editions from the brothers Grimm in their lifetimes. The first volume appeared in 1812 and included eighty six tales. The second volume appeared in 1815 and included seventy tales. The second edition appeared in 1819 and included 170 tales. The third edition appeared in 1837 and included 177 tales. The fourth edition appeared in 1840 with 187 tales. The fifth edition appeared in 1843 and had 203 tales. The sixth edition (1850) had 203 tales, and the seventh edition appeared in 1857 and had 210 tales (728). Jack Zipes's edition appeared in 1992 and has 250 tales, some never before published.

7. All references to the Grimms' fairy tales come from Jack Zipes's edition, <u>The Complete Fairy Tales of the Brothers Grimm</u> (1992).

8. Throughout his discussions, Luthi writes "fairy tale" as one word, "fairytale." I will follow his example only in direct quotation. Otherwise, I will write "fairy tale" as two words.

9. Even though Luthi acknowledges that some folktales can be bipartite, "it is above all the triad that is predominant: three tasks are accomplished in succession; three times a helper intervenes; three times an adversary appears" (33). Bruno Bettelheim in The Uses of Enchantment gives the use of three a psychological interpretation: "The number three in fairy tales often seems to refer to what in psychoanalysis is viewed as the three aspects of the mind: id, ego, superego" (102). While his study is primarily focused on how the fairy tale is emblematic of the psychological development of children, Bettelheim also mentions the mystical quality of the number three. He points to the Holy Trinity as an example. He also points out the trichotomy of the snake, Eve, and Adam in the Garden of Eden, and that "in the unconscious, the number three stands for sex, because each sex has three visible sex characteristics" (219). Bettelheim's examples seem rather random. It is Alan Dundes who offers hundreds of examples of the use of three in his essay "The Number Three in American Culture" in Interpreting Folklore. He focuses his examples on American culture, but the examples are pervasive in Western culture, also. Dundes points out that the number three is found in games, such as tic-tac-toe, cards (where the player

needs three of a kind) (138), in sports (such as baseball where we have three strikes, three outs, three bases) (138). Most people have three names (140). The major television networks are known by three initials (140). One of the fundamental tenets of the Declaration of Independence is life, liberty, and the pursuit of happiness (141). Witnesses in court pledge to tell all the truth, the whole truth, and nothing but the truth (144). We usually wear three layers of clothing: undergarments, outer clothing, and coats (144). Dundes, too, points out the religious significance of the number three. Christ is tempted three times; Peter denies Christ three times; there are three crucifixions on Calvary. Christ died at thirty-three (149). He speculates that the predominance of threes in society could be related to a number of things. It might be a consequence of the family group, mother, father, and child (158). It might reflect the divine nature of the universe (158).

10. Violence would seem to be one of Luthi's main characteristics of the fairy tale. Curiously, he says very little about violence. It is for this reason that I have not discussed it as a seventh characteristic of the fairy tale in section II.

CHAPTER III

FAIRY TALE ELEMENTS IN HAWTHORNE'S CHILDREN'S STORIES

In Chapter One, I established a connection between Hawthorne and the fairy tale. In Chapter Two, I defined the fairy tale. In Chapter Three, I will apply those characteristics to two works, A Wonder-Book for Girls and Boys (1852) and Tanglewood Tales for Girls and Boys, being a Second Wonder Book (1853),[1] that Hawthorne wrote for children. The list of Hawthorne's literature for children (see those titles mentioned in Chapter One) suggests more than a passing fancy in children's literature. However, my focus is on The Wonder-Book and Tanglewood Tales because of their close connections to the fairy tale and short story genres. Hawthorne's other children's collections have a historical focus. The characteristics that I established for the fairy tale in Chapter Two are applicable to these two collections of children's stories. I will conclude this chapter by illustrating how Hawthorne uses the same characteristics in other stories designed for children.

The Wonder-Book and Tanglewood Tales each contain six stories culled from the Greek myths. Hawthorne began The Wonder-Book soon after completing The House of the Seven Gables (1851), and Tanglewood Tales followed The Blithedale Romance in 1852. The Wonder-Book features "The Gorgon's Head," "The Golden Touch," "The Paradise of Children," "The Three

Golden Apples," "The Miraculous Pitcher," and "The Chimera."
Each story in this particular volume is framed with a brief
introduction and conclusion which features Eustace Bright, who
is a student at Williams College and who tells the stories.
The children refer to the storyteller as Cousin Eustace. They
all have romanticized names, such as Primrose, Periwinkle,
Sweet Fern, and Dandelion. Bright tells the stories in and
around "the county-seat called Tanglewood," owned by Mr. and
Mrs. Pringle in upstate New York near the Catskills. Specific
locales include, the Tanglewood porch, Shadow Brook, a play-
room, a fireside, a hill-side, and Bald Summit. In <u>Tanglewood
Tales for Girls and Boys Being a Second Wonder Book</u>, the
second volume of Greek myths for children, Hawthorne drops the
framing device and only includes an "Introductory," entitled
"The Wayside." Hawthorne wrote these stories after <u>The
Blithedale Romance</u> and his biography on Franklin Pierce in
1853. The tales include: "The Minotaur," "The Pygmies," "The
Dragon's Teeth," "Circe's Palace," "The Pomegranate-Seeds,"
and "The Golden Fleece."

Hawthorne made extensive changes in the Greek myths in
order to make them suitable for children. Hugo McPherson in
<u>Hawthorne as Myth-Maker: A Study in Imagination</u> offers a
detailed analysis of how Hawthorne adapted the myths from his
source, Charles Anthon's <u>Classical Dictionary</u>. This dictionary
is exactly that, a listing of classical figures, who they were
and what they did. The entries cannot be considered

narratives. It is not my intention to trace those changes or adaptations that McPherson has noted, except to mention that Hawthorne has made the Anthon listings into narratives and more significantly fashioned those elements into fairy tale narratives for children. Determining which elements to use was of particular concern to Hawthorne, especially given the sexual nature of the tales. For example, the Greek myths are sexually charged with heterosexual, homosexual, lesbian, bisexual, and incestuous unions. McPherson quotes Hawthorne as saying in the introduction of Peter Parley's <u>Tales About the Mythology of Greece and Rome</u>, "Much that is in Mythology requires judicious modification before it can, with propriety, be presented to youth. I have scrupulously avoided the unchaste allusions which are introduced into almost every book on this subject, thinking it better to be silent than to give my young friends information likely to do them an injury" (41). Explicit sexuality has been purged from Hawthorne's tales. For example, in the myth of Pandora's box, Pandora is married to Epimetheus. In Hawthorne's rendering, "The Paradise of Children," Pandora and Epimetheus are children. The world is their bower, and there is no need for adults to protect them from the world's evils because there are none. If there is any sense of sexuality in any of the tales it is veiled. These changes are typical of what Jack Zipes describes in <u>Fairy Tales and the Art of Subversion</u>. Zipes theorizes that the Grimms and others altered fairy tales to reflect middle

class mores (51). Zipes uses the phrase "instrumentalization of fantasy" in <u>Breaking the Magic Spell</u> to refer to the process when the imagination is set in a socio-economic context and the writer imposes limitations on his or her imagination which in turn diminishes the imagination. This is precisely what has happened with the tales under discussion. While Hawthorne has constructed the stories to suit nine-teenth-century moral sensibilities, he has retained much of the violence in Anthon's versions of the Greek myths.

Hawthorne establishes a fairy tale atmosphere in the introduction to the tales in five ways. One of the first ways that Hawthorne gives a fairy tale quality to the tales is with the titles of the books themselves. By using "wonder" in the titles, Hawthorne announces the primary characteristic of the works. The word conjures up the imagination, makes an appeal to the spiritual world of fantasy and make believe, and suggests that we are about to encounter the marvelous. Hawthorne even specifies the intended audience: "girls and boys," the group that would be interested in this genre. The very titles are invitations to girls and boys to enter a full-of-wonder book.

A second way Hawthorne establishes a fairy tale atmosphere is by actually naming the fairy tale genre. Eustace Bright says after the children plead for another story, "But, children, I have already told you so many fairy tales, that I doubt whether there is a single one which you have not heard

at least twice over" (1167). Bright establishes the importance
of tradition to these stories by saying that the stories were
"made for the amusement of our great, old grandmother, the
Earth, when she was a child in frock and pin-a-fore" (1168).
These stories, he says, are connected to earth's infancy,
which suggests history and tradition.

A third way that Hawthorne establishes a fairy tale
atmosphere is by connecting childhood to the Golden Age of
Greece. In order to acknowledge the importance of the Greek's
contribution, Bright and the "I" narrator connect the Golden
Age of Greece to childhood, which emphasizes the audience for
these tales. He connects these first mythological stories to
the Golden Age, stating that telling myths in the times of
Greece is comparable to telling stories in childhood. Greece
represents the childhood of the world: "Evil had never yet
existed; and sorrow, misfortune, crime, were mere shadows
which the mind fancifully created for itself, as a shelter
against too sunny realities--or, at most, but prophetic
dreams, to which the dreamer himself did not yield a waking
credence" (1310). While the narrator's view seems a bit
unrealistic, it is a pleasant notion to incorporate in a book
for children: childhood is our very own Golden Age: "Children
are now the only representatives of the men and women of that
happy era; and therefore it is that we must raise the
intellect and fancy to the level of childhood, in order to re-
create the original myths" (1310). Hawthorne concludes the

"Preface" of <u>A Wonder Book</u> by noting how the tales are suitable for children. The author, he notes, does not have to write "downward" for them: "Children possess an unestimated sensibility to whatever is deep or high, in imagination or feeling, so long as it is simple, likewise. It is only the artificial and the complex that bewilders them" (1163). The important point here is that Hawthorne feels that the stories must be altered in some way for them to be suitable for children. He finds that he can make them suitable by making them fairy tales, tales which have a clean, simple design, and will teach precise, unambiguous lessons.

A fourth way that Hawthorne establishes a fairy tale quality is the narrative that frames, that introduces and concludes each tale (a device which he drops, unfortunately, in <u>Tanglewood Tales</u>). These frame narratives serve to introduce the reader to fairy tale themes that the reader will encounter, and they remind the reader of what he or she has just heard or read. The most important function of the framing narratives is that they remind us each time of the audience because of the commentary from the assembled children.

An example of how the framing device works in <u>A Wonder Book</u> occurs in the first frame, "Introductory to 'The Gorgon's Head.'" In this frame, Hawthorne establishes the narrator or storyteller of the tales as well as his audience. Having someone tell a story within a story, according to Luthi, is a typical framework of the fairy tale and a means of

establishing repetition, another device of the fairy tale (<u>The Fairy Tale as Art Form</u> 94). Hawthorne has the character, Eustace Bright, tell the stories to the children, and "he felt quite like a grandfather toward" . . . the children (1166). The narrator says that the children are in the guardianship "of some particularly grave and elderly person" (1166). Hawthorne has skillfully blended youth and age in the narrator and also establishes that we have a definite storyteller. Bright's relatively young age as well as his name, which suggests newness, virginity, and enthusiasm, reinforces his youth while the grandfather quality suggests wisdom and experience. Hawthorne's description of Bright makes him seem rather spritely. He calls him "slender," "pale," yet "healthy" (1166). He seems ethereal when Hawthorne writes that the student seems "as light and active as if he had wings to his shoes" (1166). This foreshadows Quicksilver, who frequently appears as a magic helper in the tales which follow. Hawthorne removes himself from the narrative by means of the storyteller and creates a picturesque image on Tanglewood porch with its idyllic surroundings of an early, autumn morning. With the children assembled around Bright, Hawthorne reminds the reader of the oral tradition from which the fairy folktale sprang.

The names of the children is the fifth way that Hawthorne lends a fairy tale patina to the narrative: Hawthorne writes, "Primrose, Sweet Fern, Dandelion, Blue Eye, Clover, Huckleberry, Cowslip, Squash Blossom, Milkweed, Plantain, and

Butter-Cup; although, to be sure, such titles might better suit a group of fairies than a company of earthly children" (1166).

Despite the specific ways that Hawthorne establishes a fairy tale genre, he seems to have difficulty in determining exactly which genre he is writing. This is significant because we seem to have evidence of Hawthorne thinking about what certain genres do. If he is thinking about genres, it seems logical to conclude that he is thinking about ways to change or adapt genres, which he does with the short story.

Because Hawthorne mentions several genres in his discussion of what he has done in the first volume of A Wonder Book, he seems uncertain about exactly which genre is at work. He theorizes in the "Preface" of A Wonder Book that the classical myths are easily adaptable to reading for children. Later in the first paragraph, he notes that these "legends" are "malleable in his [the reader's] intellectual furnace" (1163). In the next paragraph, he calls the mythological stories "immortal fables" (1163). Hawthorne seems to be groping for the correct terminology that would characterize the tales. He does say that "In the present version, they may have lost much of their classical aspect, (or, at all events, the Author has not been careful to preserve it,) and have perhaps assumed a Gothic or romantic guise" (1163).

He still seems to be grappling with the correct name to characterize the tales in the "Introductory" of the second

book, <u>Tanglewood Tales</u>. The "I" narrator asks Bright if he has added any new "legends" (1308) to the series. Bright says that he has. When the "I," presumably Hawthorne, looks over the contents of the volume, he speculates on the difficulty a writer would have in converting the stories into tales suitable for children as audience. He questions: "These old legends, so brimming over with everything that is most abhorrent to our Christianized moral-sense--some of them so hideous--others so melancholy and miserable, amid which the Greek Tragedians sought their themes, and moulded them into the sternest forms of grief that ever the world saw;--was such material the stuff that children's playthings should be made of!" (1310). He wonders how "the blessed sunshine" was to be "thrown into them" (1310). Eustace Bright reassures him that "The objectionable characteristics seem to be a parasitical growth, having no essential connection with the original fable" (1310). Hawthorne has Mr. Pringle and Eustace Bright argue about the changes in the transformed myths. Mr. Pringle, who resides at Tanglewood with his wife and children, does raise objections about transforming Classical myths into another form. After Bright has told "The Golden Apples," Mr. Pringle chastises the teller by saying, "Your imagination is altogether Gothic, and will inevitably gothicise everything that you touch. The effect is like bedaubing a marble statue with paint" (1254). Bright replies that the Greeks do not have an exclusive right to the stories: "The ancient poets re-

modelled them at pleasure, and held them plastic in their hands; and why should they not be plastic in my hands as well?" (1255). Bright continues: "My opinion is, that the Greeks, by taking possession of these legends, (which were the immemorial birthright of mankind,) and putting them into shapes of indestructible beauty, indeed, but cold and heartless, have done all subsequent ages an incalculable injury" (1255). Bright sees that his purpose is to inculcate the stories with "warmth of heart, any passion or affection, any human or divine morality" (1255).

The exchange between the men illustrates what is involved with changing one genre into another. As mentioned above, this is particularly important to Hawthorne who, along with others, is in the process of creating a "new" genre, the nineteenth-century American short story.

Within the space of a few pages, Hawthorne establishes a fairy tale quality to his narrative and illustrates that he is thinking about genre. He establishes the fairy tale quality by the books' titles; by mentioning the type of genre he is writing; by establishing clearly that someone is telling these stories to someone, particularly children; by suggesting that more "sunshine" must be thrown into these stories as a consequence; by stressing the importance of telling and retelling the stories; and, finally, by noting that these stories are for the Golden Age, either of history or youth. Hawthorne also seems to be thinking about how genres work and

how one genre can provide the form for another. This is especially significant for one who is credited with helping to invent the short story genre. However, the main purpose of this chapter is to examine how the characteristics of the fairy tale manifest themselves in the tales themselves.

I will examine some of the basic characteristics of the fairy tale in <u>The Wonder Book</u> and <u>Tanglewood Tales</u>. Hawthorne's rewrites of the Greek myths exemplify the following fairy tale characteristics: (1) the traditional fairy tale opening and closing; (2) the use of magical helpers; (3) symbolic or allegorical characterization; (4) the use of certain formulas; (5) precise narrative structure; (6) point of view; (7) the humanistic fairy tale themes of loyalty, beauty, love, and friendship.[2]

I.

The traditional beginning and ending of the fairy tale is of course "Once Upon a Time" and "They lived happily ever after." Olrik explains that this traditional opening and closing serves to begin and end the story with calm. The story, Olrik contends, does not begin with sudden action or end abruptly (132). Luthi stresses that the beginnings remove the reader from the everyday world into the magic of the fairy tale, and the conclusions return the readers to their everyday world (<u>The Fairy Tale as Art Form</u> 49). All of this is part of the fairy tale's formulaic structure. The story follows the pattern of beginning with calm, moving to excitement, and

ending with calm. We have these calm beginnings and endings with <u>The Wonder Book</u> and <u>Tanglewood Tales</u>. A few examples will illustrate this.

The first story, "The Gorgon's Head," of <u>The Wonder Book</u> begins calmly enough with an explanation about Perseus as a young boy being placed, along with his mother, Danae, into a chest and being set adrift in the sea. The story ends after Perseus has accomplished his task of securing the Gorgon's head and turning the evil King Polydectes into stone. He reassures his mother that she no longer has to worry about the wicked king. The beginning and ending are quiet. The second story, "The Golden Touch," has the more traditional beginning of "Once upon a time, there lived a very rich man, and a king besides, whose name was Midas" (1195). The story ends with King Midas telling Marygold's children his story and realizing that wanting everything to turn to gold at his touch has its draw backs. He says: "I have hated the very sight of all other gold, save this!" [referring to gold highlights in Marygold's children's hair] (1209). "The Paradise of Children" has a slight variation on the "once upon a time" with "Long, long ago, when this world was in its tender infancy, . . ." (1215) but nonetheless the beginning is calm. The narrator gives a beautiful variation on the "They lived happily everafter" motif when he writes, "Hope makes it always new; and, even in the earth's best and brightest aspect, Hope shows it to be only the shadow of infinite bliss, hereafter!" (1229). The

hope applies not only to Pandora and Epimetheus, the principle characters of the narrative, but also to the readers and listeners of the tale.

"The Miraculous Pitcher" also begins on a particularly calm note. "One evening, in times long ago, old Philemon and his old wife Baucis sat at their cottage-door, enjoying the calm and beautiful sunset" (1259). The story ends on a rather melancholy note with both Philemon and Baucis dead physically but their spirits living on in the forms of two trees--the oak (Philemon) and the linden-tree (Baucis) whispering welcomes to weary travellers.

"The Chimaera" has a more traditional fairy tale beginning with "Once, in the old, old times (for all the strange things, which I tell you about, happened long before anybody can remember) a fountain gushed out of hill-side, in the marvellous land of Greece" (1280). The parenthetical commentary reminds us that such beginnings serve to remove the reader or listener from his current surroundings to a never-never land. The story ends with Bellerophon returning to the young child at the Fountain of Pirene with Pegasus. The narrator tells us the child in later years also took flight on the back of Pegasus, but the child went higher than Bellerphon and achieved more honorable deeds than Bellerophon because the child became a poet.

Another way that the narrator achieves the calm of openings and closings is to have Eustace Bright and the

children of Tanglewood introduce and conclude each story. The introductions identify where the children are and tell the season which many times foreshadows a motif that might appear in the story which follows. For example, in the "Introductory to 'The Golden Touch,'" Bright notes that it is autumn and the leaves have turned to gold: "the touch of Autumn had transmuted every one of its green leaves into what resembled the purest gold" (1194). After the story, Bright and the children discuss briefly the story which they have just heard. For example, after "The Golden Touch," the children talk about how they could have retained the golden touch and not turn everything to gold. Periwinkle says that she would turn everything to gold with her right forefinger but with her left forefinger she would be able to turn it back again. This is typical of the narrative frame at the beginnings and ends of the stories.

Unfortunately, Hawthorne omitted, except for the introduction, the frame narrative in <u>Tanglewood Tales</u>. The stories follow one after another without commentary. By having the children introduce and conclude the tales, we are reminded that the stories are for children, and we see the tale from their perspective. Nevertheless, the <u>Tanglewood Tales</u> also adhere to the law of calm openings and calm endings.

However, there are some variations. Some stories begin bluntly. "The Dragon's Teeth" has one of the bluntest beginnings. The narrator begins by naming the principle

characters: Cadmus, Phoenix, Cilix, and their sister Europa. The narrator recounts the action of the story by telling that the children are playing in a meadow. The boys run after a butterfly, leaving Europa alone. She is soon swept up by a snow-white bull which pulls us into the main action of the story. This story does not begin by establishing a distance in time nor does it begin as calmly as the others. The action begins in just about the fourth line of the story. However, the story does end calmly with King Cadmus on the throne but finding time to make certain that there is not too much of the dragon's teeth in his children. The action of the narrative comes to a calm conclusion.

"Circe's Palace," the story which follows, begins a bit more calmly by asking the readers and listeners whether they have heard of King Ulysses and his travels from the siege of Troy. Then the narrative proceeds to focus on a particular incident on the voyage: "And, when everything was settled according to his pleasure, he sent to summon the remainder of his comrades, whom he had left at the sea-shore. These being arrived, with the prudent Eurylochus at their head, they all made themselves comfortable in Circe's enchanted palace, until quite rested and refreshed from the toils and hardships of their voyage" (1408). The story ends on a note of calm and rest.

"The Pomegranate-Seeds" has a rather blunt beginning with the immediate introduction of Mother Ceres and her daughter

Proserpina and the reader learning that Mother Ceres rarely lets her daughter venture out alone. The action begins immediately because we realize that Proserpina will wander away alone. The story ends on a happy, though tempered note, when Proserpina returns to her mother but must return six months out of the year to King Pluto's caverns. Since Proserpina does not mind and is interested in making King Pluto happy, the story ends on a happy note.

"The Golden Fleece," the final story of the volume, begins similarly to "The Gorgon's Head" and "The Minotaur" with the reference to the son whose father is experiencing difficulties. However, the story has no reference to its having taken place years and years ago. The narrator goes immediately into the story by telling of Jason's educational background with the Chiron. The story does end happily and on a note of triumph with Jason's successfully securing the Golden Fleece: "At sight of the glorious radiance of the Golden Fleece, the nine-and-forty heroes gave a mighty shout; and Orpheus, striking his harp, sang a song of triumph, to the cadence of which the galley flew over the water, homeward bound, as if careering along with wings!" (1469). As we can see, Hawthorne uses the traditional beginnings and endings of the fairy tale with variation.

II.

One of the most distinguishing characteristics of the fairy tale is the use of magical or supernatural figures.

Luthi calls the relationship one-dimensionality, meaning that the characters and supernatural forces in the fairy tale exist on the same plane. The human character does not see anything unusual about the magical forces or characters. Because they are in the same dimension, the hero accepts what the supernatural character has to offer and moves on. Rather than one-dimensionality, I will call this a magical relationship. This supernatural force also represents what Vladimir Propp identifies in <u>Morphology of the Folktale</u> as the helper, magic agent, or donor. It is striking that in all of these stories by Hawthorne the hero would be completely unsuccessful without the assistance of the magic agent. In some stories, "The Golden Fleece" for example, the magic agent or helper, Medea, helps Jason accomplish the task of getting the golden fleece. In the case of "The Three Golden Apples," Atlas actually gets the apples, not Hercules, and brings them to Hercules. However, the hero gets the glory. Nevertheless, the point that I wish to examine is that the human hero exists along side the magic agent without any surprise that the magic agent is supernatural or magical.

I will examine rather closely several examples of the magical union which occur in "The Gorgon's Head," and then I will view other helpers in other stories selectively. Perseus, the hero of the story, encounters several sets of helpers in the course of the story: Quicksilver and his sister; Three Gray Women; and the Nymphs. Perseus meets the first

supernatural helper, Quicksilver, who appears in several of the stories in the two volumes. Quicksilver appears before Perseus as he laments the task of securing the Gorgon's head and how impossible it seems. The magical helper is described as a "brisk, intelligent, and remarkably shrewd-looking young man, with a cloak over his shoulders, an odd sort of cap on his head, a strangely twisted staff in his hand, and a short and very crooked sword hanging by his side" (1172). There is nothing particularly magical about the appearance. However, the narrator goes on to say that Quicksilver "was exceedingly light and active in his figure, like a person much accustomed to gymnastic exercises, and well able to leap or run" (1172). Quicksilver has a "cheerful, knowing, and helpful" disposition (1172). All of these qualities impress Perseus, but only as he would be impressed by a mortal who possessed similar characteristics. The quality that makes Quicksilver magical is that he can fly. Because Quicksilver is so nimble, Perseus looks at Quicksilver's feet and notices wings on his feet and wings on the sides of his head. Perseus notices these things as one would notice the color of a person's eyes or the color of hair. Perseus does not observe these things with a sense of awe or wonder. Even when Quicksilver's sister appears, Perseus views her simply as a new acquaintance. However, she is the very embodiment of wisdom. Her first appearance is that of a rustling garment, a sensation (1183). Her wisdom is also

related to sight; Quicksilver says that it will be she who first spies the Gorgons. There are other helpers in the story.

It is Quicksilver who leads Perseus to three more helpers, the Three Gray Women--Scarecrow, Nightmare, Shakejoint--who share one eye and who also act as helpers, although reluctantly. The women have long, gray hair and one empty socket in their forehead if they do not happen to have the eye at that particular moment. Quicksilver directs Perseus to take the eye and to ask them to direct him to the Nymphs who have the flying slippers, the helmet of darkness, and the magic wallet. The Nymphs also act as helpers and know Quicksilver. Unlike the Three Gray Women, each Nymph has "two exceedingly bright eyes of her own, with which she looked very kindly at Perseus" (1181). They give him slippers, with a pair of wings, the magic wallet, and the helmet which makes Perseus invisible. It is Perseus's use of these objects in combination with Quicksilver's telling Perseus to polish his shield to a high gloss that he is able to cut off the Gorgon's (Medusa's) head by looking at her reflection in the shield while he hovers above her. After cutting off her head, Perseus places it into the wallet which expands enough to accommodate it. When Perseus returns the head to the evil King Polydectes, as the king initially requested him to do, the king asks to see the head, and the king promptly turns to stone. The important thing about the use of the helpers and the magic objects is that Perseus would have been unsuccessful without the help of

others, and, significantly, it is because of the magical relationship which enables the hero's success.

Another story which has a significant use of a magic helper is "The Miraculous Pitcher." This is the one story in the two volumes where the heroes do not travel far and wide for their adventure. The adventure takes place in their very home, and the magic helpers come to them. The story centers on the domestic harmony of Philemon and Baucis, husband and wife, and their dedication to greeting every traveler who might come along. This is in direct contrast to the townspeople, who have been known to taunt and humiliate any stranger who might venture near, unless, of course, the traveller happens to be wealthy. The story focuses on a visit from none other than Quicksilver and his companion and the welcome the couple gives them to their home. When the travellers first appear, they are "very humbly clad" (1262) and look as though "they might not have money enough in their pockets to pay for a night's lodging" (1262). Once again, Quicksilver is described in terms of lightness. Philemon senses that there is something strange about one of the travelers: "The traveller was so wonderfully light and active, that it appeared as if his feet sometimes rose from the ground of their own accord, or could only be kept down by an effort" (1263). Philemon credits the lightness to youth, but there is a sense of magic. Moreover, here is an example of how perception gives Hawthorne's narrative a magical quality. This is reminiscent of Ailene Cooper's theory

in "The Discourse of Romance: Truth and Fantasy in Hawthorne's
Point of View," which I discussed in Chapter One. She writes,
"Hawthorne's neutral territory between reality and fantasy is
not a place of neutral emotion. What Hawthorne's brand of
nineteenth-century romance invokes is the insecurity of not
knowing and the awareness that one cannot know" (506). Perhaps
"insecurity" is too strong for what is happening here, but
perception is important in Hawthorne's narratives. It is
perception which enables Hawthorne to create a sense of magic.
Quicksilver has his staff with snakes which seem to wriggle at
the top. The staff has wings. When Quicksilver sits down, he
lets his staff fall: "The staff seemed to get up from the
ground of its own accord, and, spreading its little pair of
wings, it half hopt, half flew, and leaned itself against the
wall of the cottage" (1264). Philemon credits the phenomenon
to this poor eyesight, rather than to the supernatural.
Significantly, Philemon does have some concerns about the
elder stranger, but it seems that the concerns are those that
anyone would have in inviting someone who is not known into
one's home. The older gentleman provokes fear and calm in
Philemon. Philemon is frightened at the stern look the
stranger can have (1264). "[A]t his frown, the twilight seemed
suddenly to grow darker, and that, when he shook his head,
there was a roll as of thunder in the air" (1264). However, a
moment later, "the stranger's face became so kindly and mild,
that the old man quite forgot his terror" (1264). This

traveller seems worldly and wise: "When the stranger conversed, it was with gravity, and in such a way that Philemon felt irresistibly moved to tell him everything which he had most at heart" (1265). The stranger provokes ease and comfort. The narrator says that this is a typical feeling that people experience "when they meet with any one wise enough to comprehend all their good and evil, and to despise not a tittle of it" (1265). The strangers reward the couple's hospitality during the meal when the pitcher's milk becomes low. When Quicksilver notices the low level, more milk bubbles forth. Rather than assist the couple with a task, the helpers reward the couple for their kind actions. This story offers a variation on the use of magical helpers since the helpers offer assistance in one place, rather than on a journey/quest.

There are helpers and supernatural agents throughout the two volumes. Quicksilver is the one magical character who appears most often in the tales. He appears in "The Gorgon's Head," as noted above, and he also appears in "The Miraculous Pitcher" along with another traveller. Quicksilver also appears in "Circe's Palace" when he helps King Ulysses enter the palace where some of his men have been turned into hogs. Quicksilver is dressed in his usual cloak, carries his staff with its wriggling serpents on the top, and has wings on his head and feet. It is Quicksilver who provides Ulysses with a snow white flower for him to sniff in order to ward off the evil intentions of Circe. Quicksilver also appears in "The

Pomegranate-Seeds" in order to lend assistance to Mother Ceres in her quest for Proserpina. He appears just in the nick of time to prevent Proserpina from eating all of the pomegranate, which would require her to stay in King Pluto's palace for the rest of her life. Once again, Quicksilver helps the mortal characters.

While Quicksilver appears most often in the two volumes, there are other supernatural helpers in the stories to further illustrate the idea of magical relationships. In "The Three Golden Apples," Hercules has helpers before he gets to Atlas. He first encounters young women beside a river weaving flowers in one another's hair: "And there seemed to be a kind of magic in the touch of their fingers, that made the flowers more fresh and dewy, and of brighter hues, and sweeter fragrance, while they played with them, than even when they had been growing on their native stems" (1237). The maidens direct him to the Old Man of the Sea, another helper. Hercules encounters the Old Man of the Sea who looks like a fish. However, when Hercules grabs the man, the old man changes from a fish to a stag, to a three-headed dog, then to a six-legged man-monster, and, finally, the Old Man appears as a snake. After these changes, the Old Man directs Hercules to Atlas. Atlas helps Hercules secure the apples, but he does not appear particularly magical. He appears superhuman in the sense that he holds up the sky and can make great strides over land to get the golden apples from the garden of the Hesperides, and,

of course, he assists Hercules in accomplishing the task. However, it is significant that Hercules encounters several supernatural helpers in an attempt to accomplish his task. We also have a magical helper in "The Minotaur" when Ariadne provides Theseus with a silken string to hold on to while he is in the labyrinth fighting the Minotaur. While Ariadne is the very human daughter of King Minos, she seems supernatural especially because when she touches marble it yields to her touch and moves as though by magic. Also, the string seems magical because of its delicacy. It is silk; it stays with Theseus during the twists and turns of the labyrinth; and he clings to it during the fight with the Minotaur. This is the one story where the helper is most human but also offers magical assistance. The important point with all the helpers is that they offer help to the heroes in circumstances that would prevent them from accomplishing their tasks.

III.

The relationship between the magical character and the protagonist (the "human" hero) is important; however, the human character plays an important role because of what he or she represents. It is what the character represents that is more important almost than the character himself or herself. The fairy tale character is unique primarily because the character is sketchy and usually poorly delineated. Luthi uses the ambiguous term "depthlessness" to describe the character- ization. What he means is that the character is flat. This

flatness or lack of delineation serves to highlight the possible symbolic meanings of the character. This view of the character is affected by the point of view, which is usually third person objective. We know the characters' thoughts only through action. The character is more often than not an isolated youth, with little emphasis on family or ethnic community. The fairy tale character has no history. He or she seems to have existed for all time because the character is based on stereotype rather than individuality. The character is typically an orphan, a prince, princess, a maiden, a huntsman, a weaver, etc. The character's primary function is to represent some force essential to the story: goodness, evil, jealousy, etc. Next, I wish to examine the human character in the fairy tale in several stories.

In "The Paradise of Children," for example, we have a particularly good example of the kinds of characters described above. Luthi notes that the fairy tale hero is youthful or symbolizes youth. We have that in the characters of Pandora and Epimetheus, as well as in the setting of the tale. The narrator emphasizes the fact that this is a world, "paradise" as he calls it, of children who do not need adult supervision because there are no evils from which to protect them. The children seem to have sprung into existence, bypassing conception, birth, and early childhood: "Long, long ago, when this old world was in its tender infancy, there was a child, named Epimetheus, who never had either father or mother; and

that he might not be lonely, another child, fatherless and motherless like himself, was sent from a far country, to live with him, and be his playfellow and helpmate. Her name was Pandora" (1215). The children have no families, no ethnic background. The narrator needs two innocent children to come face to face with the evil forces of the world, so he creates them out of airy thinness. They also have no emotional make up. Pandora is in the story in order to open the box, to violate Epimetheus's interdiction, the kind of interdiction that Propp says is essential for the fairy tale, and unleash evil into the world.

Pandora and Epimetheus are probably the youngest characters in any of the stories in the two volumes. However, the heroes in the stories are generally youthful and on some kind of quest. Perseus is youthful. We know from the beginning of the story that he and his mother, Danae, were set adrift when he was very young, but there is no attention given to who these people are ethnically. This lack of delineation is essential because the character is supposed to represent all youths. The important thing is that we have someone there to perform the action. This supports Bruno Bettelheim's theory that since the primary audience of the fairy tale is children, there needs to be that kind of hero fighting the evil forces of the world. We also have another young person in "The Chimera" with Bellerophon, who has the assistance of the supernatural helper Pegasus. This lack of characterization

makes the characters seem not quite human even though they are represented as such.

Another story with youthful characters is "The Dragon's Teeth." Cadmus, Phoenix, Cilix, and Europa are brothers and sister. Their mother is Queen Telephassa. True to form, the characters are a family because the story calls for familial unity in their search for Europa who is spirited away by a snow white bull. However, the focus of the story becomes a bit blurred as the brothers tire of the search, establish their own communities, and become kings in their own rights. Aside from the search, one of the most striking examples of diminished characterization lies with Cadmus, who is the last brother to give up the search and establish a kingdom. It is he who sews the dragon's teeth from which the warriors spring and in turn build the city. Because of his efforts, Cadmus is given Harmonia instead of Europa. In one of the best examples of how the writers gloss over moments of passion and avoid the depths of human emotion, the narrator reveals that Harmonia offers Cadmus "a great deal of comfort" (1381). The narrator goes on to say that "Before many years went by, there was a group of rosy little children (but how they came thither, has always been a mystery to me) sporting in the great hall, and on the marble steps of the palace, and running joyfully to meet King Cadmus, when affairs of state left him at leisure to play with them" (1381). Cadmus serves one function--to be the sole surviving character to sew the dragon's teeth and produce

a kingdom, not to be an example of a passionate flesh and blood human. One motivation for Hawthorne's lack of character delineation in the stories is to avoid the necessity of describing every biological urge or act, since his audience was children.

While the focus of the stories is youth, there are tales with older folks as the main characters who are also sketchily drawn. Hercules and King Ulysses seem older. They do not have the youthfulness of some of the other heroes, especially since many of the young heroes in these tales are in search of their fathers. There are other tales with older characters; however, with these tales, the emphasis is usually on family life, but, once again, the characters receive superficial characterization. "The Golden Touch" and "The Miraculous Pitcher" are two good examples. With the former, we have a king so obsessed with gold that he wants everything he touches to turn to gold. He quickly realizes his misfortune when breakfast turns to gold and he cannot eat it. The climax of the tale takes place when he kisses Marygold's forehead and she turns to gold. While King Midas represents an older character, he and Marygold are as flat as the youthful characters. There is no mention of life before the story begins, and the story's focus is not the family's relationship but the consequence of greed. The same lack of character development exists in "The Miraculous Pitcher" where the characters, Philemon and Baucis, are older than the typical youthful heroes of the tales. The

action of the story is also limited since it does not venture beyond the front yard of their cottage. Nevertheless, despite the warmth that the characters generate, they represent one quality--hospitality. We know very little about them except that they are kind to strangers. This is in direct contrast to their neighbors who shun all but the wealthy. Quicksilver, the magic helper whom we have seen so often, rewards the couple by making their pitcher perpetually full.

Not only do the major characters lack a great deal of specifics as to who they are, the minor characters in the tales are also described in a limited way. For example, in "The Golden Fleece," when Jason is about to cross a river he encounters "an old woman with a ragged mantle over her head, leaning on a staff, the top of which was carved into the shape of a cuckoo" (1439). Despite the fact that the woman is aged, she has beautiful eyes. However, she receives scant descriptive detail considering the role she plays as the Speaking Oak of Dodona as well as the figurehead for the ship in which Jason and the Argonauts sail to get the Golden Fleece. We have the same limited description in "The Pomegranate-Seeds" with the description of the Hecate whom Mother Ceres encounters in search of her daughter, Proserpina: "This woman (if woman it were) was by no means so beautiful as many of her sex; for her head, they tell me, was shaped very much like a dog's, and, by way of ornament, she wore a wreath of snakes around it" (1422). She is a woman who loves to be

miserable and wants Mother Ceres to share the same. The characterizations are not always negative. Phoebus, who also plays a role in this story, receives a few, deft descriptive details: "There they beheld a beautiful young man with long, curling ringlets, which seemed to be made of golden sunbeams; his garments were like light summer clouds; and the expression of his face was so exceedingly vivid, that Hecate held her hands before her eyes, muttering that he ought to wear a black veil" (1424). The thin descriptive details for all the characters serve to underscore the characters' symbolic nature.

IV.

In addition to the magic relationships between characters and the lack of character delineation, the fairy tale relies heavily on certain formulas in characterization, colors, comparisons, and numbers to tell the tale. A few examples will suffice.

The basic character formula is that the characters are either all good or all bad. There is no multi-faceted characterization. This lack of delineation connects with Olrik's law of contrast, which plays a significant role in fairy tale formula: "Opposition is a major rule of epic composition: young and old, large and small, man and monster, good and evil" (Olrik 135). In "The Gorgon's Head," Perseus is all good. The Gorgons are all bad. Nevertheless, he performs the task as requested. He also appears very human when he

cries at the difficulty of the task. However, what is significant is that he does not give up. This is also true of Theseus in "The Minotaur." He is dutiful to his mother Aethra, and tenacious in his search for his father. Pandora in "The Paradise of Children" is completely naughty in her quest to open the box. The bad characters are also completely bad. King Pluto in "The Pomegranate-Seeds" is relentless in keeping Proserpina for his own.

In addition to formulaic characterization Luthi theorizes that the fairy tale deals with distinct colors (also formulaic): gold, silver, red, white, black, and blue. Phoebus is described as having ringlets the color of golden sunbeams. Particular colors are part of the formula of these tales. Gold is particularly important. Almost every story makes some reference to gold. The frequent use of gold underscores Luthi's theory that because the fairy tale has beauty as its primary concern, it is understandable that this color or substance would be mentioned most often. According to Luthi, it represents "the highest degree of beauty" (The Fairy Tale as Art Form 15). Aside from the titles with the word gold in them, "The Golden Touch," "The Three Golden Apples," and "The Golden Fleece," the tales themselves have numerous references to these distinct colors, but gold seems to be the most pervasive. "The Golden Touch" has gold as its very theme. It is his obsession with gold that provides the tale with its complication. King Midas's daughter is named Marygold. When he

kisses her and she turns to gold, he realizes his error. There is, also, a strong emphasis on gold and precious stones in "The Pomegranate-Seeds," where King Pluto, king of the mines, lives and carries Proserpina. King Pluto shuns the sun for the light of gold and diamonds underground: "He drew Proserpina's attention to the rich veins of gold that were to be seen among the rocks, and pointed to several places, where one stroke of a pickaxe would loosen a bushel of diamonds" (1415). King Pluto's heart is in direct contrast to the precious gems. He admits that he would have an iron heart if he did not view Proserpina's plight with some sympathy: "And an iron heart I should surely have, if I could detain you here any longer, my poor child, when it is now six months since you tasted food" (1434).

There are other examples of gold. Jason and Theseus both wear gold sandals. The Gorgons' wings are tinged with gold. The box in "The Paradise of Children" is fastened with gold cord. The violets in "The Miraculous Pitcher" look as though they have been touched by Midas. Bellerphon, in "The Chimera," has golden ringlets. Theseus's sword in "The Minotaur" has a golden hilt. Queen Telephassa braids silken thread with golden ones. There is a reference to gold in almost every story. There are references to other colors as well. Pegasus in "The Chimera" is described as having silvery wings. The Chimera which they encounter later breathes out crystal flame. The bull in "The Dragon's Teeth" is described as being snow white.

Even with the other color references, gold is still the most frequently mentioned color.

The specific use of certain colors or precious substances accentuates the fairy tale's use of extremes. Luthi observes in <u>The Fairy Tale as Art Form</u> that the genre places a strong emphasis on comparisons in order to stress these extremes. Many times the characters grope with how to explain how beautiful something is. They find it difficult to describe the beautiful. Luthi believes that beauty is the main motif in the fairy tale in several ways. The tales have characters with names that suggest beauty, "Belle" in "Beauty and the Beast" for example. The stories have a beauty of form in the way they are structured. The stories involve the quest for special stones, such as diamonds, pearls, as well as gold. Many times characters grope for the most superlative comparison to describe something. Many times characters faint before ineffable beauty. The stories under discussion abound with numerous references to beauty. The Gorgons in "The Gorgon's Head" are described in a hideous beauty: "They had wings, too, and exceedingly splendid ones, I can assure you; for every feather in them was pure, bright, glittering, burnished gold, and they looked very dazzlingly, no doubt, when the Gorgons were flying about in the sunshine. But, when people happened to catch a glimpse of their glittering brightness, aloft in the air, they seldom stopt to gaze, but ran and hid themselves as speedily as they could" (1171). A story that relies heavily

on superlative comparison is "The Miraculous Pitcher." The
area where Philemon and Baucis live is described in
paradisiacal terms: "Never was there a prettier or more
fruitful valley" (1260). The elder companion with Quicksilver,
the two travellers who visit the couple, is described in
superlatives: "But, undoubtedly, here was the grandest figure
that ever sate so humbly beside a cottage-door" (1265). As the
group eats, the honey is described in the extreme: "Its color
was that of the purest and most transparent gold; and it had
the odor of a thousand flowers, but of such flowers as never
grew in an earthly garden, and, to seek which, the bees must
have flown high above the clouds" (1269). The narrator says
later that "never was such honey tasted, seen or smelt"
(1269). The grape clusters had grown larger and richer and
seemed to be at the point of bursting as the guests placed
them on their plates. Of course, the focus of the tale is the
miraculous pitcher, which replenishes itself. If a good person
drinks it, he pronounces it "the most invigorating fluid"
(1274) he has ever had. If a disagreeable person drinks, he
pronounces it the sourest. The extreme comparisons underscore
the beauty of the story. One final example of these extreme
comparisons is the description of Pegasus in "The Chimera."
When Bellerophon first sees the horse, it is the most
beautiful that he has seen. "Bellerophon . . . thought that
never was any sight so beautiful as this, nor ever a horse's

eyes so wild and spirited as those of Pegasus" (1289). Once
again, the emphasis is on beauty.

Another way that fairy tales illustrate the absolute is
the type of characters. Luthi contends in The Fairy Tale as
Art Form that the stories frequently have kings, queens,
princes, and princesses because they represent the extreme.
Just about every story has some reference to kings and queens.
Many times our hero is going on his quest at the behest of
some king. Theseus, Perseus, Bellerophon, and Jason are
examples. The motivation for this is the fairy tale's interest
in the extreme--the ugliest, the most beautiful, the richest,
the poorest, the most isolated.

Another example of formula is the use of numbers. One,
two, three, seven are numbers which frequently appear in fairy
tales. However, Max Luthi notes that it is three which appears
most often. Axel Olrik also identifies the importance of
three. It is so pervasive in the folktale that he denotes it
as the law of three. This is certainly true in the stories in
these volumes. There are three Gorgons in "The Gorgon's Head."
There are also three Gray Women in the same story. Hercules
has to secure three golden apples in the tale of the same
name. The chimera in "The Chimera" has three heads: a snake,
a lion, and a goat. Queen Telephassa, in "The Dragon's Teeth,"
has three sons. In "Circe's Palace," Ulysses and his men are
afraid that they will encounter a three headed dragon. When
they go close to the palace, they encounter three groups of

animals: lions, tigers, and wolves. Cerberus, a three headed dog, guards King Pluto's dwelling.

There are other numbers in the stories. There are twenty two men in each of the groups in "Circe's Palace." Lynceus in "The Golden Fleece" spots giants with six arms apiece. Seven maidens and seven young men from Athens must be sacrificed to the Minotaur each year according to the agreement between Athens and Crete.

<div align="center">V.</div>

In addition to the distinct colors and the extreme comparisons and the use of certain numbers, Luthi posits that the story line of the fairy tale is distinct and precise, "single-stranded" as Olrik terms it. In other words, the narrative line is clear, distinct, unambiguous. This linear line follows the actions of the protagonist. Luthi theorizes that the story revolves around a wonderer who is assisted in his adventures through precise, exact stages. Axel Olrik calls this the law of repetition. Olrik stresses that key scenes in the fairy tale are repeated, and by the repetition we see the hero's determination. Luthi observes that the heroes' actions usually revolve around three tasks, tasks which require persistence on the part of the hero: "No hesitation, vacillation, or half measures impede his progress or the folktale's sharp delineation of form. Right reactions or wrong reactions result in determined advances or equally determined evasions and retreats" (Luthi, The European Folktale 29). Frye

points out in The Secular Scripture that in the romance "Its heroes and villains exist primarily to symbolize a contrast between two worlds, one above the level of ordinary experience, the other below it" (53). In every one of the twelve stories under discussion, the heroes are successful, or they are rewarded for their actions as they move between these two worlds. For example, in "Circe's Palace," King Ulysses is successful in rescuing his men and subduing Circe. It is important that King Ulysses first goes near the palace and smells the food cooking. He, however, resists going all the way to the palace steps because of the bird, which is the former King Picus, who fell into Circe's clutches earlier. King Ulysses returns and divides the men into two groups. It is the second group, headed by Eurylochus, which draws the shell from the helmet that says "Go." This group must go in order for King Ulysses to rescue them. It would not do for Eurylochus to rescue King Ulysses. This illustrates the purity, the precision of the narrative line in the fairy tale. Things must happen in a certain way. Nevertheless, the group does venture toward or go into the palace three times: Ulysses first spots the palace with the men; Eurylochus and his group get caught in Circe's snare because of their gluttony; and, finally, Ulysses returns to the palace to rescue the men. Nothing clutters the focus of this particular action of the story.

Another story which has this precise organization is "The Dragon's Teeth." The story centers on Europa's being snatched away by a snow white bull and her family's search for her. Even though her family and friends never find Europa, the very same thing happens to all three sons and their friend Thasus. After each has searched for some time with Queen Telephassa, one by one the sons fall from the group, build a hut which attracts other people, and form a city. Cadmus, Phoenix, Cilix, and even Thasus become kings.

VI.

The point of view of the stories, for the most part, is the same throughout the two volumes. The third person objective point of view, as I discussed above, gives the reader a detached view of the action and characters. This distance serves to highlight the action rather than how the characters feel about their plights. The point of view also serves to isolate the characters, therefore, intensifying their loneliness and desperation. A first person account or omniscient point of view would offer a too intimate portrait of the hero. However, Hawthorne's narrator does tell us on occasion what a character is thinking, but the narrator is essentially reporting those thoughts. For example, we see Perseus in "The Gorgon's Head" from the distance of third person. The narrator reports what happens to Perseus. King Polydectes tells him to severe the head of Medusa and bring it back. With the help of Quicksilver and his sister, Perseus

does just that. However, the narrator does tell us Perseus's thoughts. "Perseus himself, when he had thought over the matter, could not help seeing that he had very little chance of coming safely through it, and that he was far more likely to become a stone image, than to bring back the head of Medusa with the snaky locks" (1172). However, there is a sense that the narrator reports these thoughts rather than a sense that Perseus feels these thoughts. While we have no doubt that Perseus has fear, there is always a sense of detachment, as though we are watching someone involved in this struggle.

VII.

These stories deal with typical fairy tale themes--love, friendship, loyalty, innocence, evil, violence, even though violence is softened in most of the stories despite Perseus's cutting off of Medusa's head. The themes are more typical of Hawthorne, especially the ones in his more well-known works. Fairy tale themes and typical Hawthorne themes coincide. Hawthorne's tales are similiar to fairy tales because they contain themes that give them a "humanistic" quality. This dependency on others and how to deal with it is a frequent Hawthornian theme in his other tales and that theme is at work in these stories as well. Luthi stresses that the typical fairy tale theme is the human's dependency on others, but I can advance the argument further. The human is an enormously complex being capable of love, hate, greed, beneficence, and manipulation. The list is endless. These tales are

particularly Hawthornesque because there are many stories with an emphasis on the heart. In "The Golden Touch," the narrator notes that King Midas's heart was gladdened to see the gold pitcher turn back to an earthen vessel: "He was conscious, also, of a change within himself. A cold, hard and heavy weight seemed to have gone out of his bosom. No doubt, his heart had been gradually losing its human substance, and transmuting itself into insensible metal, but had now softened back again into flesh" (1208). The same theme is evident in "The Miraculous Pitcher" where the story repeatedly contrasts kind and caring Philemon and Baucis against the insensitive townspeople. The latter care only for travellers with money "and nothing whatever for the human soul, which lives equally in the beggar and the prince" (1261). This focus on human sympathy is also apparent in "The Minotaur." The thread which Theseus holds from Ariadne is symbolic of human sympathy. When he feels a twitch, "Then he knew that the tender-hearted Ariadne was still holding the other end, and that she was fearing for him, and hoping for him, and giving him just as much of her human sympathy running along that slender thread of silk!" (1333). The couple stands in contrast to the Minotaur. The narrator cautions the listener "that every human being, who suffers anything evil to get into his nature, or to remain there, is a kind of Minotaur, an enemy of his fellow-creatures, and separated from all good companionship, as this poor monster was!" (1333). Ariadne's father, King Minos, is an

"iron-hearted father," as Theseus calls him, a kind of minotaur. Ariadne who realizes her father needs love and refuses to go with Theseus says: "Hard as you think his heart is, it would break to lose me. At first, King Minos will be angry; but he will soon forgive his only child; and, by-and-by, he will rejoice, I know, that no more youths and maidens must come from Athens, to be devoured by the Minotaur!" (1336). This focus on the heart exists in other tales: in "The Dragon's Teeth," where the narrator notes that the warriors who spring from the teeth are meant for war while other people are meant for love; and in "The Pomegranate-Seeds," where we learn that King Pluto's heart is iron. However, these are typical Hawthorne references; there is a strong emphasis on helpers and helping in just about all the stories.

Fairy tale themes include the essential components of human existence: love, hate, greed, jealousy, compassion, beneficence. Luthi observes that we see united in the folktale "the decisive poles of existence: the confined and the expansive, stillness and motion, law and freedom, unity and multiplicity" (The European Folktale 78). These antipodean qualities give the fairy tale their thematic structure. Themes which frequently appear include: "readiness to help, die, or fight; the wish to do harm; the human world is not in order; dangers threaten from within the family, from within one's circle of friends, even from within oneself; there is nothing impossible, no problem is unsolvable" (The Fairy Tale as Art

Form 125). A good example of antipodean qualities is "The Pygmies." The small creatures seem to have an ideal co-existence with Antaeus, even though he sat on several thousand of the them at a military review. The contrast is obvious, but the irony is that the Pygmies, who can least afford it, take a patronizing attitude toward the giant. They use him as a jungle gym, and Antaeus finds them as pesky as mosquitoes. The only conflict is between Antaeus and Hercules. Hercules disturbs the peaceful kingdom and kills the giant by holding him aloft and not allowing him to touch the earth, which Antaeus needs to do in order to preserve his strength. The antipodean values we have here are the seeming strength of the giant put at risk by one confrontation with Hercules. Antaeus is not as invincible as he seems. Antaeus and the Pygmies represent two qualities of human nature--humankind's arrogance (Antaeus) and vulnerability (Pygmies). These kinds of themes underscore the humanistic quality which exists in the fairy tale. This is the message that we see in the traditional fairy tales and the tales under discussion here.

Despite the preponderance of evidence which illustrates the fairy tale elements in these stories, Hawthorne seems to adapt the fairy tale form in other short narratives as he forges, along with others, the nineteenth-century short story genre.[3] The fairy tale influence recedes in Hawthorne's more well-known tales, but the influence is present nonetheless. This transformation indicates that Hawthorne is altering the

fairy tale genre in order to make a form uniquely his and uniquely American. However, it is the fairy tale which provides the infrastructure for the new form. An analysis of Hawthorne's more well-known stories illustrates how Hawthorne may have used the fairy tale as a prototype for the short story. There is an evolution from stories outside the narratives specifically designated for children, which possess some of the same fairy tale qualities that I have discussed in Chapter Three, through stories that have no fairy tale elements at all. While evolution suggests a precise, discernible change from point A to B (stories which have strong fairy tale components to those which do not), the metamorphosis from fairy tale to nineteenth-century American short story is not one continuum, because Hawthorne wrote various types of narratives. It is this narrative experimentation which leads Hawthorne to make his indelible contribution to the short story.

CHAPTER III
ENDNOTES

1. All references to tales in <u>A Wonder Book for Girls and Boys</u> and <u>Tanglewood Tales for Girls and Boys</u> as well as all other references to Hawthorne's tales are keyed to Nathaniel Hawthorne's <u>Tales and Sketches</u>, New York: Library of America, 1982.

2. I have divided the fairy tale characteristics into seven categories in this chapter as opposed to the six that I established in Chapter Two for purposes of clarity and to prevent sections from becoming unwieldy. For example, I have placed openings and closings in the first category because it is a logical way to begin my discussion here. I have placed organization in section five because it provides a way to summarize what has gone before.

3. There are other stories for children in Hawthorne's canon which have fairy tale elements and are not part of <u>A Wonder Book</u> or <u>Tanglewood Tales</u>. "David Swan" (1837); "Little Annie's Ramble" (1837); and "Little Daffydowndilly" (1851) are particularly fairy tale like because they have fairy tale elements, and they all end happily.

"David Swan: A Fantasy" is an excellent example of a Hawthorne story for children with fairy tale elements. The story also indicates how Hawthorne changed those elements. Our hero is passive rather than active. The character is asleep for much of the story. However, the sleep is metaphorical for our lack of awareness of events around us: "We can be but

partially acquainted even with events which actually influence our course through life, and our final destiny" (429). David Swan is on a journey/quest, assuming a position in his uncle's grocery in Boston. The quest, typical of many fairy tales, is turned on its head in this story. Rather than encountering the forces as he moves along, the forces visit him. What is significant is that we know so little about David Swan. He is a type. He represents youth, innocence. We see the action swirl around him instead of watching him directly engage in the action. Significantly, with a few deft touches, the narrator sketches David's visitors. The husband is described as an elderly merchant, a gentleman. His wife is described as a lady. He has gout. She is dressed in a silken gown. The description is not more than a paragraph, but the type is clear--wealthy, upper class. The couple wants to awaken David because he reminds them of their dead son, Henry. Next, a young maiden happens along and brushes away a bee, "a dragon in the air" (432) about to light on David's eyelid. She, too, is succinctly described. "[A] pretty young girl came along, with a tripping pace, which shewed precisely how her little heart was dancing in her bosom" (431). She is cut from type, a young woman with whom David could fall in love. Finally, two potential robbers arrive. "Both had dark faces, set off by cloth caps, which were drawn down aslant over their brows. Their dresses were shabby, yet had a certain smartness" (433). The narrator goes on to call them "a couple of rascals, who

got their living by whatever the devil sent them" (433). One pilfers David's bundle while the other holds a dagger to David's heart in case he stirs. A dog happens along, and the two fear that the master is nearby. David is spared. The story covers only a few pages, but the characters have no existence beyond the role they play in connection to David. He has possibly slept through adoption, romance, and murder. It is an exciting story for the hero to be so inactive.

"David Swan" might also be seen as a rewrite of more typical fairy tale stories, "Sleeping Beauty," "Brier Rose" for example, where it is the female who is asleep and passive as the world reacts to her. In this story it is the male. David does have a potential love interest, but she passes him by. How marvelous it would have been if the young maiden had kissed David awake and whisked him off to her castle.

In "Little Annie's Ramble" Hawthorne inverts the relationship between the magical character and the hero. In most fairy tales, the youth of the tale establishes a magical union with an older, wiser supernatural character. In this story, it is the older character who seeks assistance from five-year-old Annie in order to search for his youth. He has Little Annie guiding him through the town, looking at toys in the window, and observing the animals. It is through her perception that he can find "free and simple thoughts" and "airy mirth" (234). "All this by thy sweet magic, dear little Annie!" (235).

"Little Annie's Ramble" is reminiscent of Charles Perrault's "Little Red Riding." However, in this story the narrator does not seem to be related to Annie, even though the relationship seems avuncular or grandfatherly. She does not visit him with a basket of goodies. He escorts her out of her yard simply by extending his hand. The narrator does mention "Little Red Riding Hood." "Here we see the very same wolf--do not go near him, Annie!--the self-same wolf that devoured little red Riding Hood and her grandmother" (232). The tale is simply a pleasant ramble through town, as a man attempts to recapture lost youth. By comparison to "Little Red Riding Hood," the tale is subdued. This is typical of the way Hawthorne sublimates the more well-known fairy tale conventions. No one is devoured.

They eventually wind their way home when the town crier says that a little girl is lost. The narrator suddenly realizes that he took Annie on their ramble without telling her mother. "Well, let us hasten homeward; and as we go, forget not to thank heaven, my Annie, that after wandering a little way into the world, you may return at the first summons, with an untainted and unwearied heart, and be a happy child again. But I have gone too far astray for the town crier to call me back!" (234). This underscores the moral of the story. The adult has used the child to live vicariously, to capture a bit of his lost youth. The town crier can call Annie back to home and mother's warmth, but the narrator is too far

into adulthood to be called back. Annie is a fountain of youth as are other children. "After drinking from those fountains of still fresh existence, we shall return into the crowd, as I do now, to struggle onward and do our part in life, perhaps as fervently as ever, but, for a time, with a kinder and purer heart, and a spirit more lightly wise. All this by thy sweet magic, dear little Annie!" (235). The narrator has attached a great deal of importance to a child, who receives very few descriptive details.

"Little Daffydowndilly" is an excellent example of a children's story with a thinly developed character, symbolic of innocence and laziness who exists primarily as a contrast to another symbolic character, Mr. Toil. At the beginning of the story, the narrator establishes a contrast between Mr. Toil and Little Daffydowndilly. This contrast is fundamental to the story because it motivates the action of the narrative and underscores the tale's theme. "Daffydowndilly was so called, because in his nature he resembled a flower, and loved to do only what was beautiful and agreeable, and took no delight in labor of any kind" (834). Mr. Toil, on the other hand, is described as having "a severe and ugly countenance;" "his voice, too, was harsh; and all his ways and customs seemed very disagreeable;" "this terrible old schoolmaster sat at his desk overlooking the scholars, or stalked about the schoolroom, with a certain awful birch rod in his hand" (834). This sets up the premise of the story line which is Little

Daffydowndilly's quest to escape work. However, he sees "Mr. Toil," people at work, at every turn. Here we have another character off on a ramble, similar to little Annie in "Little Annie's Ramble." He encounters a stranger, a helper who does not seem to be magical, who guides him around the town showing him the various Mr. Toils: the farmer, the carpenter, the soldiers, the fiddler, even those folks resting in a field resemble Mr. Toil. The only magical quality in the tale is that all the people resemble Mr. Toil, but in reality they resemble him because they are all toiling. Little Daffydowndilly concludes that there is toil all over the world. He cannot escape and returns to the real Mr. Toil. We have limited description of the main characters, but enough to establish a contrast on which the story turns. The moral of the story is that young people cannot escape work.

CHAPTER IV

FAIRY TALE ELEMENTS IN HAWTHORNE'S SHORT FICTION FOR ADULTS

Hawthorne's canon reveals an array of different kinds of narrative techniques, and, certainly, they do not all have fairy tale elements. Some of his stories can be considered essays. For example, "Buds and Bird Voices" (1843) could easily be categorized as an essay on happiness. "Earth's Holocaust" (1844), which has the very opposite tone of the first story, could be an apocalyptic essay on the spiritual death of civilization. In addition, there are historical stories such as "A Book of Autographs" (1844) where a narrator recounts finding a book of letters by famous people such as John Adams, George Washington, Henry Clay, and Andrew Jackson, and imagines the circumstances of the letters' composition. There are contemporary stories, such as "Chiefly about War Matters, by a Peaceable Man" (1862), which recounts details of the Civil War. Hawthorne writes as M. de l'Aubépine in the introduction to "Rappaccini's Daughter" that "His fictions are sometimes historical, sometimes of the present day, and sometimes . . . have little or no reference either to time or space. In any case, he generally contents himself with a very slight embroidery of outward manners,--the faintest possible counterfeit of real life,--and endeavors to create an interest by some less obvious peculiarity of the subject" (975).

I noted in Chapter Three that Hawthorne grapples with the terminology of genre: he has called his writings myths, fairy tales, legends, fables, romances, and sketches. Hyatt H. Waggoner writes in Hawthorne: A Critical Study that "we have no proper term for the type of story Hawthorne created" (71). Waggoner goes on to say that the stories are not quite allegories or symbolic stories or realistic (71): "Most of Hawthorne's best tales exist . . . in a realm somewhere between symbolism and allegory" (71). The allegorical influence is certainly there as other critics have pointed out and as I mentioned in Chapter One. It is my contention that Hawthorne, in addition to allegory, history, and romances and a host of other influences, uses elements of the fairy tale to help him leave his indelible stamp on the short story genre.

I attempted to show in Chapter Three that the fairy tale is a strong influence in his writings for children and that he is, in fact, using the same elements in his stories for adults. Hawthorne's canon is punctuated with stories which have strong fairy tale components. While I do not wish to suggest that all the stories have these components, I do wish to suggest that the fairy tale is an important influence on Hawthorne as a writer. Even in his more famous tales, Hawthorne uses fairy tale elements. It is the use of these elements which gives a distinctive quality to his short stories. However, Hawthorne has refashioned these elements for an adult audience.

I will divide this chapter into two sections. In the first section, I will discuss five stories in general and apply the same characteristics that I used in Chapters Two and Three. In section one, I will examine "The Hollow of the Three Hills" (1837), "The Great Carbuncle: A Mystery of the White Mountains" (1837), "The Threefold Destiny: A Faery Legend" (1842), "The Man from Adamant" (1851), and "Feathertop: A Moralized Legend" (1854). In the second section, I will focus on four of Hawthorne's most famous tales and illustrate how these stories benefit from Hawthorne's use of fairy tale elements: "The Snow-Image: A Childish Miracle" (1851), "Young Goodman Brown" (1846), "Rappaccini's Daughter" (1846), and "The Birth-mark" (1846).

The dates of the aforementioned stories indicate that the presence of fairy tale characteristics is not confined to one particular time period. There is not a linear progression from stories at the beginning of Hawthorne's writing career with significant fairy tale qualities to stories at the end of his career with no fairy tale qualities. Rather, fairy tale elements are evident in some of his writing throughout his career. While The Wonder Book and The Tanglewood Tales seem to be more replete with fairy tale elements, there are other Hawthorne stories that have fairy tale characteristics. Significantly, Hawthorne wrote The Wonder Book (1852) and Tanglewood Tales (1853) sandwiched between his major romance novels--The Scarlet Letter (1850), The House of the Seven

Gables (1851), Blithedale Romance (1852), and The Marble Faun (1860). My focus here is to examine the changes Hawthorne made in his treatment of fairy tale elements in stories designed for adults.

<div align="center">I.</div>

I will use the same structural and thematic fairy tale characteristics which I discussed in section III of Chapter Two in my discussion here, but I will also illustrate how Hawthorne absorbs fairy tale elements into the short story genre in order to create his short romances: (1) precise organization, including the traditional fairy tale opening and closing; (2) the use of magical helpers; (3) symbolic characterization; (4) the use of certain formulas; and (5) the use of typical fairy tale themes: love, friendship, beauty, and violence.[1] To create his short romances, Hawthorne frequently calls into play the fairy tale elements to help him tell his story. Many times he satirizes the fairy tale convention, exaggerates it, uses it in unusual ways, or uses it to convey themes that are of interest to him. Hawthorne makes the biggest changes in the fairy tale form in his treatment of characterization and theme. We know more about characters psychologically than we usually know in fairy tales, and Hawthorne's themes are usually bleak.

(1) Precise narrative structure

The precise story line is a standard fixture of Hawthorne's short romances and reflects a close correlation to

the short story's strict unity of beginning, middle, and end. By precise, I mean there there is a clear line of action with no sub-plots to cloud the overall impression the story makes. To use Poe's term, everything in the story points to the story's effect.

"Young Goodman Brown" is a superbly organized story. Richard Fogle in Hawthorne's Fiction: The Light and the Dark could easily be talking about the fairy tale characteristics which I discussed above when he talks about this story's "lucid simplicity of the basic action" (22). There is "skillful foreshadowing" (22). There is a "balance of episode and scene" (22). There is a "continuous use of contrast" (22). There is a "lucid simplicity" "in the firmness and selectivity of Hawthorne's pictorial composition" (22), "in the detachment and irony of Hawthorne's attitude," and "in the purity, the grave formality, and the rhetorical balance of the style. His amalgamation of these elements reveals consummate artistic economy in fitting the means to the attempted ends" (22). The story reveals Hawthorne's genius in constructing the short story. For example, Hawthorne foreshadows doom when Brown is so insistent on leaving Faith and enters the dark forest. She clearly loves him, but Brown leaves her anyway and has withdrawn from her and society by the story's conclusion. This change shows balance and contrast. There is further contrast between Brown (young, naive, good) and the dark stranger (older, experienced, evil). Another contrast is between the

townspeople and Brown. They seem willing to be at the witches' meeting, but Brown is somewhat reluctant. The story follows typical narrative structure. There is a clear introduction, with characters, setting, and tone firmly in place. There is a beginning situation as Brown enters the forest and meets the stranger. There is development of the action as Brown progresses closer to the meeting. The climax occurs when Brown announces that his faith is gone, and the falling action traces the devastating consequences on Brown. Fogle's description of Hawthorne's technique in "Young Goodman Brown" is typical of most of Hawthorne's stories. They have precision, following a clear narrative line. They are balanced with contrasts, foreshadowing, and repetition. It is unnecessary to trace these devices in all the stories. However, this type of organization is typical of fairy tales also. Fairy tales begin a certain way; there is contrast, repetition, specific actions or functions, as well as specific kinds of closings. Of course, all art has some of these elements, but these qualities are particularly important to the fairy tale because it is a genre which stresses antipodean values. Opposite is fundamental to the design of the fairy tale. Contrast is such an integral part of the genre that it almost seems exaggerated. Without these devices, the fairy tale would not be the fairy tale.

Another important part of structure is the law of repetition. Repetition creates emphasis, balance, and symmetry

in the fairy tale. The repetition is grounded in the funda-
mental action of the story. This action is centered on the
idea of lack and lack liquidated. Alan Dundes and Max Luthi
have both stressed this idea, as I have discussed in Chapter
Two. They see it as a framing action. The characters are
missing something: a bride, a home, parents, kingdoms, or
love. It is the quest to fulfill this lack that creates the
repetition in the stories. The technique is apparent in
Hawthorne's narratives. I will discuss one example: "The
Lily's Quest: An Apologue."

In "The Lily's Quest," Adam Forrester and Lilias Fay
search for the appropriate place to build their Temple of
Happiness. The search for that place dictates the kind of
repetition frequent in many fairy tales. As the two search,
they are followed by one Walter Gascoigne who monitors their
every move and either approves or disapproves their potential
spot. The first spot, which "would look towards the West"
(686), meets with disapproval because a "dark-clad guest had
dwelt among its inmates, sitting forever at the fireside, and
poisoning all their household mirth" (687). The couple moves
to another site. The second site is walled in by gray
precipices with "a profusion of green shrubbery" and "gladsome
foliage" (687). The couple loves the spot, but once again,
Walter Gascoigne rejects the place. According to Walter, a
young man murdered a young woman on the spot. The pilgrims set
forth once again. Their next spot is "a small rise of ground"

(689) where there is an "ancestral mansion" and an "ivied church" (689), but the couple is filled with wonder at the lily that grows at their feet. Walter does not disagree with their choice, and the lovers see the lily as a sign "that here had been no footprint of guilt or sorrow, to desecrate the site of their Temple of Happiness" (689). The narrator states that in a short time "the fairy structure" made of white marble, pillars, and dome appeared. Unfortunately, Lilias, because of her delicate nature, dies, and the Temple of Happiness becomes a tomb. The repetition of the couple's looking for the proper site is essential to building the story's meaning. It is only in the couple's choosing two sites that we appreciate the importance of the third. With the delay, we understand more readily the significance of the location. This narrative structure also underscores another important formula in the fairy tale genre--the use of three. We have three characters; there are three locations, and there are three functions in the narrative.

Hawthorne's openings and closing are reminiscent of fairy tale openings and closings, but he usually varies from the formulas that characterize these openings and closings. One of Axel Olrik's narrative laws is the law of soft openings and closings. The folk narrative, according to Olrik, begins and ends softly: "Once upon a time" and "they lived happily ever after" are, of course, the traditional fairy tale openings and closings. Hawthorne makes an important change with the fairy

tale endings. Most of the stories under consideration end unhappily. This an important change in the fairy tale structure because it illustrates how Hawthorne modifies the fairy tale technique to suit his themes. Nonetheless, there is an attempt to remove the reader from the present time to another world at the beginning. We at least have soft openings if not soft closings in the stories under discussion.

"The Hollow of the Three Hills" begins softly: "In those strange old times, when fantastic dreams and madmen's reveries were realized among the actual circumstances of life, two persons met together at an appointed hour and place" (7). The story has a rather somber rather than happy conclusion. (The narrator describes a funeral procession and summarizes the melancholy events of the poor woman's life.) Significantly, the "withered crone," at the end of the story, seems to mock the story that she has just heard when the narrator tells us that she chuckles to herself and says, "Here has been a sweet hour's sport!" (11). Hawthorne does not allow the woman, who is in torment, to be reunited with her family and be completely forgiven; rather, he has the witch have the last, unhappy laugh.

In "The Great Carbuncle: A Mystery of the White Mountains," the narrator begins: "At nightfall, once, in the olden time, on the rugged side of one of the Crystal Hills, a party of adventurers were refreshing themselves, after a toilsome and fruitless quest for the Great Carbuncle" (435).

"Once, in the olden time" removes the story from the present and softly ushers the reader into the wondrous quest for the Great Carbuncle. The story concludes after the young couple, Matthew and his bride, realizes the absurdity of seeking the precious gem. They "reject a jewel which would have dimmed all earthly things" (448). The story concludes with its moral, the lesson succinctly stated in case the reader may have missed it. However, while this may be considered a soft closing because the young couple is happy, they have been unsuccessful with the quest that motivated the action of the story. They have not discovered the great carbuncle. However, they have discovered that they do not need it. This is a switch in the typical fairy tale quest story. Usually, the hero is successful in whatever quest he pursues. There is a Hawthornesque twist here. The couple has come to realize that they do not need the great carbuncle. Their home can be lighted by the moon and the sun.

"The Threefold Destiny: A Faery Legend" has a typical fairy tale beginning, but some mention must be made of the title. Hawthorne calls attention to the fairy tale genre by actually using "faery" in the title. It is curious that he has combined "faery" and "legend" in the same title. This illustrates a point I made earlier with The Wonder Book and Tanglewood Tales where Hawthorne grapples with the specific genre he is writing. The narrator in "The Threefold Destiny" admits that "I have sometimes produced a singular and not

unpleasing effect, so far as my own mind was concerned, by imagining a train of incidents, in which the spirit and mechanism of the faery legend should be combined with the characters and manners of familiar life" (598). He goes on to say that he has thrown over the sketch "a subdued tinge of the wild and wonderful" (598). He concludes that "Rather than a story of events claiming to be real, it may be considered as an allegory, such as the writers of the last century would have expressed in the shape of an eastern tale, but to which I have endeavored to give a more life-like warmth than could be infused into those fanciful productions" (598). The story hints at <u>Arabian Nights</u>.

The opening of the "The Threefold Destiny" cannot be considered soft in the strictest sense of "once upon a time." However, the beginning is unusual because it self-consciously calls attention to the refashioning of an older genre. This clearly indicates that Hawthorne was writing under the influence of another genre, that he was adapting one form to another. The difference is that he wants to give it a "life-like warmth." He does this by not using kings, queens, princes, or princesses. He even reminds the reader that the "tall, dark figure" was "entering a village, not in 'Faery Londe,' but within our own familiar boundaries" (598). Hawthorne accomplishes a number of tasks in less than a page. He invokes the past by mentioning fairy legend and thus giving the tale that patina, and he also reminds the reader that the

story is contemporary when the story's character enters the village and the story. Hawthorne inculcates the tales with more realism than fairy tales have. This is one of the distinct differences that Hawthorne makes between the fairy tale genre and the short story. Hawthorne establishes this realism by giving characters specific names, identifying locales, and establishing a historical context for the narratives. The conclusion of this story is typical of the fairy tale, however, and it is one of the few Hawthorne stories under consideration here to end happily. Ralph Cranfield gets all three of his wishes: he finds the woman with the jewel in the shape of a heart; he finds buried treasure; and he has "extensive influence and say over his fellow-creatures" (600) by becoming a teacher. All of this is accomplished in his own "backyard." The moral of the story is summarized in a nice, neat package. Whenever you are looking for life's destiny, you have to look no farther than your own backyard: "Would all, who cherish such wild wishes, but look around them, they would oftenest find their sphere of duty, of prosperity, and happiness, within those precincts, and in that station where Providence itself has cast their lot. Happy they who read the riddle without a weary world-search, or lifetime spent in vain!" (606).

While the beginnings of the stories have a strong resemblance to the openings of typical fairy tales, Hawthorne has altered the endings to suit his own thematic designs.

Because the majority of the stories above end unhappily,
Hawthorne gives this particular fairy tale convention a more
realistic and tragic angle. In most of the stories, Hawthorne
ends his short romances on a note of despair or hopelessness.
The stores mentioned above indicate that the stories are
variations on the typical soft openings and closings of the
fairy tale genre. While very few of the stories actually begin
with "once upon a time" or end with "they lived happily ever
after," it is significant that many times the narrator evokes
a past time which gently eases the reader into the narrative
proper. However, once in the narrative, the tale, many times,
comes to a bleak, sad end.

Hawthorne's use of balanced narrative structure,
repetition, and soft openings and closings indicates that he
is using fairy tale elements for his own narrative designs.
Hawthorne's biggest change in the structure of the fairy tale
is with conclusions. He alters the typical fairy tale "happily
ever after" in order to give a different thematic focus, which
I discuss below.

(2) Magical relationships

One-dimensionality is Luthi's term for the characteristic
of the relationship between human characters and supernatural
ones in the fairy folktale. Characters and supernatural forces
exist on the same plane. Human characters do not notice the
supernatural qualities of other characters. The hero accepts
the presence of the super-natural being as though it were

perfectly natural. The helper, magic agent, or donor can be either good or bad. Hawthorne uses this fairy tale convention extensively in his tales. "The Man from Adamant: An Apologue" examines the magical connection between two characters: one spiritual or magical and the other human, Mary Goffe and Richard Digby, respectively. Digby is a hardened man, physically and spiritually. Because of his strict, rigid, and conservative interpretation of the Bible, he has stolen away into a cave and isolated himself from humankind. Mary Goffe, in the form of a spirit, attempts to help rescue him from his isolation. Digby is unaware of her spiritual form because he knew her as a convert in his church. She attempts to help him out of his spiritual wilderness by having him pray and read from the Bible. The narrator describes Digby as devilish. By contrast, Goffe is "sad," "mild," "pitiful," "a sorrowing angel" (426). With his refusal, Digby dies, and "Mary Goffe melted into the last sunbeams, and returned from the sepulchral cave to Heaven. For Mary Goffe had been buried in an English churchyard, months before; and either it was her ghost that haunted the wild forest, or else a dreamlike spirit, typifying pure Religion" (426). The narrator gives the reader two choices: she is either a "ghost" or a "dreamlike spirit, typifying pure Religion." Significantly, both choices are supernatural. Digby does not see her as either, and because he does not, he forfeits her help, and thus fails to be restored to humanity. This supernatural helper has been

unsuccessful in assisting Richard Digby from his adamant position. By having Digby resist the assistance of the donor or helper, Hawthorne intensifies his humanistic theme that humans need others. In most fairy tales, the hero accepts the help and is rewarded. In some of Hawthorne's tales, the hero refuses the help and suffers the devastating consequences.

In "Feathertop: A Moralized Legend," we have another story with a supernatural creature. The story centers on how a new creation, the scarecrow, functions in the ordinary world. Hawthorne creates a striking change with supernatural helpers in this story because we essentially have two supernatural creatures helping each other. The main character, Mother Rigby, is "one of the most cunning and potent witches in New England" (1103). She creates a scarecrow, not ugly, hideous, or horrible, but "fine, beautiful, and splendid" (1103). Mother Rigby is a bit other worldly because of her witch roots, and Feathertop, the scarecrow, is a bit other worldly because Mother Rigby has fashioned him from a broom handle, hoe handles, a meal bag, and a pumpkin. Sucking periodically on a pipe gives Feathertop life: "To say the truth--whether it were chance, or skill, or downright witchcraft--there was something wonderfully human in this ridiculous shape, bedizened with its tattered finery; and as for the countenance, it appeared to shrivel its yellow surface into a grin--a funny kind of expression, betwixt scorn and merriment, as if it understood itself to be a jest at mankind"

(1105). Mother Rigby continues the jest by allowing Feathertop to court Polly Gookin who is wonderfully impressed by her suitor. It is not until Feathertop looks into the mirror that he sees that he is not the dandy that he thinks he is but "a picture of the sordid patchwork of his real composition, stript of all witchcraft" (1120). The story is about perception. His preternatural mother imbued him with his sense of self, dressed him in the accouterments of nobility, and prepared him for courtship, only to allow a mirror to reveal his scarecrow self. The moral is a human one and rather existential: "I've seen myself, mother!--I've seen myself for the wretched, ragged, empty thing I am! I'll exist no longer!" (1121). The irony is not lost on Mother Rigby. She laments: "There are thousands upon thousands of coxcombs and charlatans in the world, made up of just such a jumble of worn-out, forgotten, and good-for-nothing trash, as he was! Yet they live in fair repute, and never see themselves for what they are! And why should my poor puppet be the only one to know himself, and perish for it?" (1122). Mother Rigby, able to produce magic, facilitated the birth of Feathertop. Feathertop, in turn, a creature with a supernatural soul, facilitates an awareness in Mother Rigby, an awareness of human nature. Clothes do not always make the scarecrow.[2]

Hawthorne's use of a magical relationship between characters is an important, distinguishing characteristic of his fiction. By having such relationships, he gives many of

his tales a distinctive, fairy tale quality. This convention recalls Hawthorne's commentary in the "The Custom House" in The Scarlet Letter where he says that in his fiction the real takes on a filmy, diaphanous look: "Thus, therefore, the floor of our familiar room has become a neutral territory, somewhere between the real world and fairyland, where the Actual and Imaginary may meet, and each imbue itself with the nature of the other" (31). This happens with these characters. The actual and the imaginary meet, and "each imbues itself with the nature of the other." Hawthorne's commentary is also about perception. Hawthorne's fiction stresses that human beings are weak and cannot always clearly discern the meanings of things. He frequently refers to how things appear. He uses perception to make the atmosphere of the tale more redolent with magic.

Allene Cooper in "The Discourse of Romance: Truth and Fantasy in Hawthorne's Point of View" (whom I mentioned in Chapter One) sees Hawthorne's commentary about the "neutral territory" as being fundamental to understanding Hawthorne's narrative design.[3] Cooper notes that Hawthorne uses discourse "that could be read as either the voice of the narrator or the thought of a character" (497). It is this ambiguity which allows Hawthorne to convey his truths. Although Cooper does not say it, this ambiguity is a way that Hawthorne creates magic in his narratives.

Hawthorne uses the technique in "The Hollow of the Three Hills." The narrator tells us that "it seemed as if other

voices" (8) from the past become audible to the woman in the hollow: "They spoke of a daughter, a wanderer they knew not where, bearing dishonor along with her, and leaving shame and affliction to bring their gray heads to the grave" (9). Then the voices dissolve "into the sound of the wind" (9). The "withered hag" indicates that she, too, has heard the voices. Both characters hear the voices by their own admission. Yet, the narrator has said the voices seem to there. Since we question the emotional stability of both women, the incident creates an eerie, enchanted, magical atmosphere.

(3) Symbolic characterization and point of view

Hawthorne retains symbolic characterization[4] but makes a dramatic shift in the fairy tale point of view. Even though many fairy tales have what can be termed flat characterization, what Luthi calls depthlessness, meaning that the characters lack both physical and emotional substance, characters serve primarily a symbolic purpose. The characters, usually isolated, essentially represent a quality, a type, or idea. Luthi also stresses that the characters usually lack families or a specific community. Hawthorne significantly alters this technique by placing characters squarely in a social setting. For example, placing Young Goodman Brown in seventeenth-century Puritan New England leaves an indelible impression on Brown and the reader. It would not be the same story without the strict Puritan moral code. Luthi theorizes that when a fairy tale is less referential, the characters

take on a more universal quality. Hawthorne combines two tech-
niques. He has characters live in a specific time and place,
and they have a symbolic or allegorical role. In addition to
this, Hawthorne creates characters who are psychologically
complex. The focus of most fairy tale characters is action. In
Hawthorne's stories the action is a consequence of psychology.
Moreover, the characters' symbolic or allegorical represen-
tation frequently conveys the stories' themes.

Hawthorne also emphasizes the psychology of the character
by altering the point of view from the traditional fairy tale
point of view. The fairy tale point of view is third person
objective, where the narrator reports what happens to the
hero. If we know what a character thinks or feels, it is
reported in a general way. The psychological perspective is
missing. For example, in Grimms' "Snow White," the narrator
reports that the new queen is "beautiful but proud and
haughty" (196), but we do not know the psychological
complexity of the character. What we know of her is reported.
Hawthorne shifts from a reportorial to a third person limited
omniscient point of view.

The two techniques, symbolic characterization and third
person limited omniscient point of view, are at work in "The
Hollow of Three Hills." The story focuses on two women, one a
lady, the other a withered crone. Both characters are thinly
drawn, yet the lady is symbolic of someone who has fallen from
grace and seeks out another for comfort. The older woman

represents indifference. We know that the lady is, "graceful
in form and fair of feature, though pale and troubled, and
smitten with an untimely blight in what should have been the
fullest bloom of her years" (7). A lady, isolated, reaches out
to "an ancient and meanly dressed woman," who represents the
supernatural helper, but the helper offers the lady little
comfort. The "untimely blight" that the lady has upon her is
never fully explained, except at the end the narrator makes
reference to "--the wife who had betrayed the trusting
fondness of her husband,--the mother who had sinned against
natural affection, and left her child to die" (11). The lady
is suffering psychological torment for some wrong that she has
committed. The narrator illustrates the lady's psychological
torment by relaying her thoughts. While she kneels before the
old woman, she hears the voices that torment her: "In such a
manner . . . did those voices strengthen upon the ear . . .
and the conversation of an aged man, and of a woman broken and
decayed like himself, became distinctly audible to the lady as
she knelt. But those strangers appeared not to stand in the
hollow depth between the three hills" (8-9). The narrator
tells us the voices "seemed to melt into the sound of the wind
sweeping mournfully among the autumn leaves" (9). The lady and
the old woman have heard the voices, but the narrator tells us
that it is the wind. We have two perspectives on the same
thing. The women hear the voices, but the narrator tells us it
is the wind. This infuses the story with a supernatural

eeriness and stresses the lady's isolation. By relaying the lady's thoughts, the narrator intensifies the woman's psychological torment. Her inner torment allows Hawthorne to stress, once again, his humanistic theme, the need for mercy.

Hawthorne combines two techniques, symbolic characterization and a psychological point of view. While Hawthorne's characters are frequently emblematic of some abstract idea, he also humanizes them by showing their psychological machinations. Rather than being content to report what happens to his characters, Hawthorne takes us deep into the recesses of their psyche. By doing this, he is able to examine the themes of isolation, sin, guilt, intellectual pride, manipulation, and forgiveness.

(4) Formulas

The fourth characteristic is that the fairy tale relies heavily on fixed formulas. These formulas include the use of distinct colors, numbers, and precious metals. A number of Hawthorne's tales use such formulas.

"The Hollow of the Three Hills" is an excellent example of the use of the formulaic three. I have already mentioned the plight of the lady in search of help from a supernatural helper above. The two women meet in a basin formed by the promontories of three hills. The place is one of decay and death. The grass is "brown," the water "green and sluggish," a tree trunk "mouldering" and "decaying" (7). The three hills emphasize the isolation, the loneliness of the two women. The

woman who seeks help has made three mistakes. She has made a mistake with her husband, her daughter, and a mistake in coming to the old woman, who seems to be a bit wicked and seems not to have the woman's best interest at heart. The woman says at the story's conclusion, "'Here was been a sweet hour's sport!' said the withered crone, chuckling to herself'" (11). The use of threes in this tale suggests that Hawthorne is aware of the convention, but in "The Threefold Destiny," Hawthorne seems to be making fun of it.

"The Threefold Destiny" also has the use of three at its center, but because Hawthorne uses it so extensively and makes numerous references to the fairy tale genre, he seems to be satirizing the convention. He uses three in the title, as well as makes reference to the fairy tale genre. However, he qualifies the sub-title in the first paragraph when the "I" narrator says, "I have sometimes produced a singular and not unpleasing effect, so far as my own mind was concerned, by imagining a train of incidents, in which the spirit and mechanism of the faery legend should be combined with the characters and manners of familiar life" (598). "Spirit" suggests theme, which in turn suggests destiny, since many fairy tales deal with a character's destiny, and this is the theme of the story. In addition, one of the main "mechanisms" of the fairy tale is the formulaic use of three. He goes on to say that the story has "a subdued tinge of the wild and wonderful" (598). These are typical fairy tale ingredients. In

the next paragraph, he adds that "a tall, dark figure" (598) enters "not in 'Faery Londe,' [sic], but within our own familiar boundaries" (598). With references to the fairy tale genre firmly in the reader's mind, the narrator begins his narrative.

Three lies at the narrative core of "The Threefold Destiny" because the main character, Ralph Cranfield, has been searching the world for three things: "[T]hree marvellous events of his life were to be confirmed to him by three signs" (599): a maid with a heart shaped pin, a treasure with a hand above it pointing to a sign which reads Efforde, and influence over his fellow creatures with three men acting as a sign. He has travelled the world--Spain, the Arabian desert, and the Arctic--for his three destinies. He has now returned to New England, his home, to have this threefold quest unexpectedly fulfilled. He sees the sign, which he had written years ago, on a tree in his mother's yard with bark above in the crude shape of a hand. Three elderly gentlemen visit him and ask if he will become the schoolmaster. They have been laboring over the decision for three days, and Cranfield will give his decision in three days. Finally, he discovers Faith Egerton, a childhood playmate, who wears a brooch in the shape of a heart upon her bosom. The prophecy is fulfilled. The triadic structure of the story is borne out by the completion of his three desires or three wishes. There are so many references to three Hawthorne seems to be poking fun at the convention.

Significantly, this is one of the few stories, under discussion here, which end happily.

Another fairy tale convention is the use of precious substances such as gold and diamonds. "The Threefold Destiny" also has references to gold, along with other precious substances. Cranfield hopes to find "the gold in coin or ingots" (599) in the buried treasure. He wants his young maiden to wear a jewel in the shape of a heart, "whether of pearl, or ruby, or emerald, or carbuncle, or a changeful opal, or perhaps a priceless diamond, Ralph Cranfield little cared, so long as it were a heart of one peculiar shape" (599). Cranfield had given Faith Egerton a brooch "in a gold setting" (606) when he left on his travels. However, the references to precious substances do not seem as exaggerated as the references to three.

There are other references to other precious substances in other stories. "The Great Carbuncle: A Mystery of the White Mountains" has at its narrative center the quest for just such a precious stone. Luthi argues that the focus on precious stones and metals, particularly gold, crystal and silver, in the fairy tale is due to the genre's emphasis on the beautiful.

However, it is "The Great Carbuncle" which has a precious stone at its narrative and thematic center. It plays such an overwrought role that once again Hawthorne seems to be exaggerating the use of the convention. In "The Great

Carbuncle," the carbuncle, a red stone, is the object of the eight adventurers' quests. Hawthorne alters here the fairy tale convention of having a singular hero in quest of the precious stone. The irony of the story is that none of the adventurers finds the stone because no one needs it. The story is set in the Crystal Hills and is steeped in mystery, wonder, and a sense of enchantment. The eight characters, the Seeker, Doctor Cacaphodel, Master Ichabod Pigsnort, a fourth with no name, a poet, Lord de Vere, and the young couple, Matthew and Hannah (The names suggest their symbolic function in the story, from arrogance, pomposity, visionary, to no identity, to humility.) are in search of the "wondrous gem." The narrator summarizes the individual interest in the stone, and it centers on the stone's beauty. One had heard tales of the "marvellous stone"; another had been interested ever since Captain Smith "had seen it blazing far at sea"; another was on a camping expedition and awoke to see it "gleaming like a meteor"; the narrator states that the carbuncle's light "overpowered the moon, and almost matched the sun" (438-9). They indicate the difficulty of the quest when they remind themselves of the Indian tradition which says that a spirit moves the gem from peak to peak or summons "a mist from the enchanted lake over which it hung" (439) to conceal it. When the group discusses what they will do with the gem, they also reveal its great value. Aside from the Seeker who is on the journey for the love of the quest, Doctor Cacaphodel wants to

reduce the stone "to its first elements" (439). Mr. Pigsnort wants to keep the stone in tact and sell it to the highest bidder. The poet wants to keep the gem in his chamber: "There, night and day, will I gaze upon it--my soul shall drink its radiance--it shall be diffused throughout my intellectual powers, and gleam brightly in every line of poesy that I indite" (440). Lord de Vere wants to place it in his ancestral home: "There shall it flame for ages, making a noonday of midnight, glittering on the suits of armour, the banners, and escutcheons, that hand around the wall, and keeping bright the memory of heroes" (441). Hannah and Matthew, the most humble of those assembled, want it to illuminate their cottage on winter evenings, to show their neighbors, and to lighten their faces so that they can see each other when they awaken in the night. The Cynic says that it is all a humbug. The next day the others have abandoned Matthew and Hannah to pursue the carbuncle more aggressively. The narrator focuses on the couple's quest, rather than the quests of the others. Finally, the couple makes it to the "shrine of the Great Carbuncle" (445). The Seeker is dead, and the Cynic cannot see the brilliance of the stone because he is spiritually blind to it. The others are similarly unsuccessful: Pigsnort gave up the quest; Cacaphodel took home a piece of granite to dissolve; the poet took home a piece of ice for inspiration; Lord de Vere settled for a chandelier of candle light to illuminate his ancestral home; and Hannah and Matthew realize that they

need only the sunshine, the moonlight, and their hearth to illuminate their cottage. The irony of the story lies in the fact that their quest centers on something that they think is invaluable and precious, but the journey ends with the members of the group having a hollow substitute of the real thing, realizing that they did not need the thing in the first place, or having died.

"The Great Carbuncle" is an excellent example of how one convention can contribute to the formulaic structure of the fairy tale. Luthi stresses that this kind of reference, as well as reference to other precious substances, is typical of the fairy tale genre because the teller of the tales is interested in the most precious of metals, the most beautiful objects. In most fairy tales, the hero finds what he seeks to suggest to the reader that perseverance is rewarded. Hawthorne tells the reader to be aware of what you seek. The object may not be worthy of the quest afterall. Hawthorne subdues the fairy tale theme and gives it a more realistic cast.

(5) Themes

It is impossible to discuss the first four characteristics of the fairy tale without making some reference to theme along the way. As I have indicated above, Hawthorne has typical fairy tale themes: love, honor, perseverance, courage. Significantly, Hawthorne deals with the more serious themes of guilt, secret sin, hatred, and isolation. A dramatic change Hawthorne makes in typical fairy tale themes is that in most

cases, with some exceptions, the hero is unsuccessful. This is in direct contrast to the heroes in <u>A Wonder Book</u> and <u>Tanglewood Tales</u>, where the heroes are successful. In adult stories, Hawthorne deals with the complexity of psychological despair, isolation, and loneliness as seen in "The Man from Adamant" and "The Hollow of the Three Hills." The theme in these stories is a lack of grace shown to others. The stories reflect humanistic themes, typical of the fairy tale. Hawthorne captures human complexity with his ideas on guilt, sin, isolation, manipulation, and beauty.

<div align="center">II.</div>

In this section, I will examine four stories--"The Snow-Image," "Young Goodman Brown," "Rappaccini's Daughter," and "The Birth-Mark"--to illustrate how even Hawthorne's most famous tales contain fairy tale elements.[5] What is of most importance in this chapter is that I would like to examine how Hawthorne modifies and expands the fairy tale techniques.

Rather than use the exact fairy tale characteristics that I have used in previous chapters, I wish to focus on four ways that Hawthorne modified the fairy tale elements that I have been discussing in his stories for adults. The major changes that Hawthorne makes are in point of view, the supernatural or magical, psychological characterization, and in themes.

"The Snow-Image: A Childish Miracle," which Henry James in <u>Hawthorne</u> calls a "a little masterpiece" (63), is an excellent transitional story from the stories for children

with fairy tale elements and the stories for adults with fairy tale elements because this particular story is for children and adults. The story has a fantastic sense of wonder, and it is this wonder which offers a connection with Hawthorne's other stories for children. The story is filled with enchantment which lies in the spirited snow-image that Violet and Peony create and their attempt to keep the spirit alive. It is a story of the imagination and the willingness to believe. The children are pitted against the father, who has a limited imagination and a diminished willingness to believe. The mother, on the other hand, seems to waver between things imagined and reality. There are moments when she seems to be filled with the spirit of the imagination, and there are other times when she finds the snow-image unbelievable. Even though the children are the ones who create the snow child, it is the mother and her reaction on whom the reader focuses his attention. The mother seems to be wavering between childhood and adulthood. The story reflects the changes that Hawthorne made in point of view, the supernatural, psychological characterization, and in themes.

The point of view of the story is third person objective. There is an "I" in the story, but it is told as though someone is standing at the edge of the Lindsey garden or in the Lindsey parlor, observing the scene and reporting it to the reader: "So, Violet and Peony, as I began with saying, besought their mother to let them run out and play in the new

snow" (1087). The story is essentially reported to us. This is a fairly typical fairy tale technique. It establishes a distance between the reader and the action. Readers rarely know exactly how a character feels. The narrator may tell us, or we have to make inferences from the action. However, significantly, the narrator does enter the mother's thoughts at an important point in the narrative. Allene Cooper in "The Discourse of Romance: Truth and Fantasy in Hawthorne's Point of View" (whom I mentioned above) sees Hawthorne's commentary about the "neutral territory" as being fundamental to understanding Hawthorne's narrative design. "Hawthorne," she writes, uses "discourse that could be read as either the voice of the narrator or the thoughts of a character" (497). It is this ambiguity which allows Hawthorne to convey his truths: "Hawthorne's neutral territory between reality and fantasy is not a place of neutral emotion. What Hawthorne's brand of nineteenth-century romance invokes is the insecurity of not knowing and the awareness that one cannot know" (506). Although Cooper does not say it, this ambiguity is a way that Hawthorne creates magic in his narratives. We have it with the narrator's entry into the mother's thoughts. The mother goes to the door when Violet proclaims that she and her brother have a new playmate. The narrator asks, "And what do you think she saw there? Violet and Peony, of course, her own two darling children. Ah, but whom or what did she see besides? Why, if you will believe, me, there was a small figure of a

girl dressed all in white, with rose-tinged cheeks and ringlets of golden hair, playing about the garden with the two children" (1094). However, in the next paragraph, the mother thinks something different: "Indeed, she almost doubted whether it were a real child, after all, or only a light wreath of the new-fallen snow, blown hither and thither about the garden by the intensely cold west-wind" (1094). We have two contradictory comments about the same thing. The narrator tells us that there is a child, but Mrs. Lindsey doubts whether it is a real child or "a light wreath of the new-fallen snow." Hawthorne shifts from a reportorial point of view to a limited omniscient point of view in order to evoke the supernatural or magical. In a fairy tale, the narrator reports the supernatural as though it is real. In this tale, Hawthorne allows the point of view to suggest the supernatural or magical.

The supernatural or magical plays a significant role in the story. The story turns on Violet's and Peony's foray into their garden to make a snow-image in the shape of a little girl who assumes life. The mother imagines that the children even have miraculous helpers to make the child: "The mother, as she listened, thought how fit and delightful an incident it would be, if fairies, or, still better, if angel-children were to come from Paradise, and play invisibly with her own darlings, and help them to make their snow-image, giving it the features of celestial babyhood!" (1090). When the mother

looks again, "she beheld a small white figure in the garden, that seemed to have a wonderful deal of human likeness about it" (1092). The children shriek with delight when the snow child assumes life. The mother sees the child; she wonders about her name; whether she is from the neighborhood; whether she should invite the child in. She also speculates that the vision is simply snow swirling in the air. The father provides the contrast for the mother and the children. He does not see her as a snow creation but as a child who needs shelter from the snow. The mother offers an explanation as to why the snow-image came into existence. She says to her husband--"You will think me foolish--but--but--may it not be that some invisible angel has been attracted by the simplicity and good faith with which our children set about their understanding?" (1098).

Mr. and Mrs. Lindsey provide a nice contrast for the children. The children accept the snow-image as one of them, as existing in the same dimension as they do. Their mother wavers between doubt and acceptance. The father, more literal than the rest of the family, rejects the notion out right that this is some magical creature. Because of his unwillingness to believe, he insists that the snow child warm herself by the Heidenberg stove. Of course, this dooms the newborn creature. The snow-image is a facilitator to the imagination. This is where she has been a helper to the children, and, partially, to the mother. The father has failed to believe. The narrator admonishes men like Mr. Lindsey: "They know everything--Oh, to

be sure!--everything that has been, and everything that is, and everything that, by any future possibility, can be. And, should some phenomenon of Nature or Providence transcend their system, they will not recognize it, even if it come to pass under their very noses" (1102).

The narrator deftly describes the family in the opening paragraph, establishing the key differences among the family members. Their descriptions suggest their psychological states. Violet is described as being of a "tender and modest disposition" (1087). Peony is described as having a "broad and round little phiz" (1087) which is ruddy, making people think of "sunshine and great scarlet flowers" (1087). The father, Mr. Lindsey, is a "matter-of-fact sort of man, a dealer in hardware, and was sturdily accustomed to take what is called the common-sense view of all matters that came under his consideration" (1087).

The most significant psychological description, however, is devoted to the mother. She is the focus of the tale. Hawthorne has already established this by shifting the point of view. The mother's character is described as having "a strain of poetry in it" (1087). She has an "unworldly beauty . . . that had survived out of her imaginative youth, and still kept itself alive amid the dusty realities of matrimony and motherhood" (1087). The mother has the most significant description. Vestiges of the mother's "imaginative youth" was still alive amid the adult realities of marriage and

motherhood. The imagination and adult realities play against themselves in the action of the story.

It is this tension between the two qualities in the mother that indicate that she is the focus of the tale. This indicates how Hawthorne alters a fairy tale element. Rather than having a youth as the focus, Hawthorne focuses his attention on the adult and how she reacts to the supernatural. The children have no doubt that they have the ability to create another child in their image. The mother appreciates their youthful naiveté. The mother knows that if the children create a child, it will be a miracle. However, as the mother watches from the window, she is fascinated: "Again, however, and again, and yet other agains, she could not help turning her head to the window to see how the children got on with their snow-image" (1089). She looked out the window "half dreaming that she might see the golden-haired children of paradise sporting with her own golden-haired Violet and bright-cheeked Peony" (1091). When the snow-image finally appears, the mother is dazzled. She is dazzled, literally, because of the way the light reflects off the snow, but more significantly, she is dazzled imaginatively: "Still, however, through all that bright, blinding dazzle of the sun and the new snow, she beheld a small white figure in the garden, that seemed to have a wonderful deal of human likeness about it" (1092). The presence of the snow-image creates confusion for

the mother even though she tries to rationalize that the snow-girl is only a neighborhood child whom she does not recognize: "Mamma still hesitated what to think and what to do" (1096).

The presence of the snow-image creates psychological confusion for the mother. This is exactly the opposite of what we have in typical fairy tales. The heroes in fairy tales act forthrightly, with resolve. There is little hesitation in doing what has to be done. Mrs. Lindsey wavers in her acceptance of the snow-image as real.

The father's reaction to the snow-image is in contrast to the mother's and the children's. His psychological view represents "practical" reality. The children have no doubt that the snow-image is their snow-sister. The mother has some doubt, but the father is convinced that the child is from the neighborhood and is concerned about the child's welfare. Mr. Lindsey admonishes the children: "No wonder she looks like snow. She is half frozen, poor little thing! But a good fire will put everything to rights!" (1100). This ushers in the climax of the tale. Amid the children's protests, Mr. Lindsey brings the child near the fire. The climax of the story coincides with the climax of the mother's imagination: "The mother, meanwhile, had gone in search of the shawl and stockings; for her own view of the matter, however subtle and delicate, had given way, as it always did, to the stubborn materialism of her husband" (1101). The key word is "materialism." The children can envision things of the spirit.

The mother can also, but her imaginative spirit is waning. The father dwells only in material things, the hardware of things.

The imaginative view and the realistic view create the tension of the tale. Mr. Lindsey is too matter of fact. The mother, intermittently, is matter of fact and imaginative. Mr. Lindsey said earlier that Mrs. Lindsey is "as much a child as Violet and Peony" (1098). The narrator says that it is so:

> And, in one sense, so she was; for, all through life, she had kept her heart full of childlike simplicity, and faith, which was as pure and clear as crystal; and, looking at all matters through this transparent medium, she sometimes saw truths so profound, that other people laughed at them as nonsense and absurdity. (1098)

However, the story reveals that Mrs. Lindsey begins to change as she sacrifices her imagination to reality. Mrs. Lindsey is in the middle of two extremes represented by the children and the father. The children are imaginative. The father is not, and Mrs. Lindsey is searching for a proper psychological equilibrium. There seems to a partial epiphany here because we do not know whether she will be more like the children after the incident and give sway to the imagination or be more like Mr. Lindsey. In all likelihood, she will be more like Mr. Lindsey. This episode may be the final blow to her imaginative spirit.

Many of the typical fairy tale themes are at work in this story. The story is about innocence with the children's unwavering belief that they can create a snow-child. The story is about believing in magic and the contrasting views among the children, Mrs. Lindsey, and Mr. Lindsey. Beauty is also a

theme. The snow-image is described in terms of delicacy and fragility as though it must be warmed and taken care of as one would a child. The story is also about beauty. Luthi reminds us that many times the fairy tale character faints before the beautiful. Mrs. Lindsey is "dazzled" by the image when she first sees it. Sadly, it is Mr. Lindsey who destroys the snow-image by bringing her into the house: "And the Heidenberg stove, through the isinglass of its door, seemed to glare at good Mr. Lindsey, like a red-eyed demon, triumphing in the mischief which it had done!" (1102). All does not turn out happily. The narrator could be discussing how we should react art, and he could be discussing how to treat other human beings. At the conclusion of the tale, the narrator tells us there are many lessons to learn. One of them is that people of good will need to know what they are doing: "What has been established as an element of good to one being may prove absolute mischief to another" (1102). The narrator implies that because the adults have a weakened imagination, their actions lead to destruction: "And, should some phenomenon of nature or providence transcend their system, they will not recognize it, even if it come [sic] to pass under their very noses" (1102). Mr. Lindsey's last call is for his wife to tell Dora to clean the snow that the children have tracked in. The conclusion is quite poignant because the wife essentially disappears from the story after responding to the children's screams. Her absence illustrates her emotional and psycho-

logical state, emptiness. The iron will of her husband, a symbol of matter-of-factness, has suppressed the tenuous imaginative spirit of Mrs. Lindsey. Even though this is sad for the mother, the narrator ends the tale on a wistful, rather than tragic, note. The story is an admonition on adults' unwillingness to see imaginatively. For the adult, there is sadness; for the child, there is hope for another snowy day.

The story has a strong fairy tale quality, with the sense of wonder and enchantment that pervades the tale. Significantly, Hawthorne gives the story a realistic cast because the characters seem like everyday, ordinary people. However, the circumstances are unreal, and it is the combination of the two which demonstrates the changes that Hawthorne makes with fairy tale elements. He goes into the thoughts of the mother and reveals her reaction to the magical, snow-image, thus making her the tale's focus. By conveying the thoughts of an adult and her reaction to something of the imagination, Hawthorne alters the focus of the typical fairy tale, a youth, to that of the mother, an adult. However, the humanistic theme is still typical of the fairy tale--loss of innocence. In observing that an adult still has innocence to lose, Hawthorne makes the theme more riveting, more poignant, which in turn suggests a universality of theme.

"Young Goodman Brown" is another example of Hawthorne's adult stories which illustrate how Hawthorne modifies fairy

tale elements by using point of view, the supernatural or magical, psychological characterization, and theme.

Point of view plays a significant role in this story. Hawthorne modifies the third person objective point of view typical of many fairy tales and places us in the mind of Goodman Brown with the third person limited omniscient point of view. However, the story starts in third person objective. The narrator reports what happens to Brown up to the devil's leaving Brown on the forest's path:

> Without more words, he threw his companion the maple stick, and was as speedily out of sight, as if he had vanished into the deepening gloom. The young man sat a few moments, by the road-side, applauding himself greatly, and thinking with how clear a conscience he should meet the minister, in his morning-walk, nor shrink from the eye of good old Deacon Gookin. (281)

The shift in point of view underscores the tale's focus, Brown's conscience. Brown's journey deep into the forest parallels his journey within his own psyche. The limited omniscient point of view is imperative for the reader to see Brown's changes. This point of view serves the story well, unlike a first person point of view. With a first person narration, Brown might be classified as an unreliable narrator. By entering Brown's thoughts, the reader sees a character in torment, grappling with doubt. This is highly unusual with a fairy tale character, where the hero may have fear, but there is an underlying certainty that all will turn out right in the end. While Brown is symbolic of youth and naiveté, he seems quite human and real. Third person limited

omniscient point of view allows the narrator to do two things: highlight Brown's mental state and stress Brown's isolation.

The use of the supernatural dovetails nicely with point of view because Brown's encounter with evil creates the most dramatic effect. Despite the fact that in this story Hawthorne provides a specific time period and moral setting, seventeenth-century New England Puritanism, which is not typical of fairy tales, he makes extensive use of the supernatural and the magical, which are typical fairy tale formulas. The atmosphere of Puritan New England suggests religion, faith, morality, evil, and goodness. All these forces are at play in the tale.

In addition to the atmosphere, Hawthorne uses the supernatural helper in the form of the dark man who guides Brown to the witches' meeting. He is a man of fifty. Brown and the man bear a striking resemblance, "more in expression than features" (277). The two could be father and son. The older traveller seems to be "one who knew the world" (277): "But the only thing about him, that could be fixed upon as remarkable, was his staff, which bore the likeness of a great black snake, so curiously wrought, that it might almost be seen to twist and wriggle itself, like a living serpent" (277). [The description evokes Quicksilver in the earlier stories. The irony is that the helper ushers Brown into the world of evil. Quicksilver invariably assisted others to success.] The dark man's association with the serpent identifies him as the

devil. The serpent in this story is equivalent to the dragon in the typical fairy tale. This staff and its association with the serpent gives the character its supernatural, magical qualities. The devil, as Goody Cloyse calls him, throws the staff at Goody's feet: "[H]e threw it down at her feet, where, perhaps, it assumed life, being one of the rods which its owner had formerly lent to the Egyptian Magi" (280). The stranger further illustrates magical qualities when he plucks a maple branch to use as a walking stick: "The moment his fingers touched them, they became strangely withered and dried up, as with a week's sunshine" (281). The elder traveller leads Brown deeper into the woods. When Brown grows weary and wants to rest, he leaves Brown: "Without more words, he threw his companion the maple stick, and was as speedily out of sight, as if he had vanished into the deepening gloom" (281). It as though the donor or helper has led Brown to the point of no return because Brown is soon engulfed in the witches' communion.

The use of this supernatural force serves to intensify Brown's encounter with evil. The dark man is evil incarnate, and it is evil that is his companion, ushering Brown into forbidden knowledge, an awareness of his neighbors' sins. Horribly, the "helper" has not helped but has assisted Brown in doing the very thing that he should avoid. When Brown enters the witches' communion, the reader can be assured that the tale will not end happily. The fairy tale convention

enables Hawthorne to deal externally with the psychological torment that Brown is experiencing. The devil/helper can also be an extension of Brown's dark psyche, a side which he never fully reconciles in himself or in others.

Brown's encounter with evil highlights the psychological characterization that Hawthorne emphasizes. The moment Brown leaves his young wife on his journey/quest, he is psychologically isolated. Faith is reluctant for him to go: "'Dearest heart,' whispered she, softly and rather sadly, when her lips were close to his ear, 'pr'y thee, put off your journey until sunrise, and sleep in your own bed to-night" (276). The setting emphasizes Brown's psychological isolation. "He had taken a dreary road, darkened by all the gloomiest trees of the forest, which barely stood aside to let the narrow path creep through, and closed immediately behind. It was all as lonely as could be" (276-7). This psychological isolation leaves him vulnerable and susceptible to evil influences. When he hears Faith's voice at the witches' meeting, Brown's psychological agony becomes clear: "The cry of grief, rage, and terror, was yet piercing the night, when the unhappy husband held his breath for a response" (283). A pink ribbon flutters to the ground. Brown suspects that it is Faith's. He cries, "'My Faith is gone!'" (283).

In fairy tales, the hero fights the evil of the world and wins. Here Brown is fighting a personal evil and loses. The evil he discovers is the evil in himself. As I mentioned in

Chapter Two, Max Luthi sees the fairy tale hero as one who meets the right helpers and makes the right decisions: "The heroes of the folktale meet the right helpers and press the right button to obtain help, whereas the antiheroes frequently do not encounter any helper, and if they do, they react wrongly and forfeit the gift" (The European Folktale: Form and Nature 57). According to Luthi's definition, then, Young Goodman Brown is the anti-hero because he makes the wrong decisions. He has encountered a helper, but it is the wrong kind of helper. This helper leads Brown down the path to destruction, isolation, misery. After Brown pronounces his faith gone, the narrator describes the frenzied state of Brown's mind. Brown is so "maddened with despair" that "he laughed loud" (283). Brown has become a "frightful figure" (284). He brandishes his staff with "frenzied gestures" (284): "The fiend in his own shape is less hideous, than when he rages in the breast of man" (284). Brown's body language indicates the rage within. He joins the members of the communion: "Goodman Brown stept forth . . . and approached the congregation, with whom he felt a loathful brotherhood, by the sympathy of all that was wicked in his heart" (286). Brown's fate is sealed. He has joined the communion. As a consequence, "a stern, a sad, a darkly meditative, a distrustful, if not a desperate man, did he become, from the night of that fearful dream" (288). Young Goodman Brown has become misanthropic Brown, and he withdraws.

Brown's withdrawal empahsizes a typical Hawthorne theme--isolation. One of the worst things a Hawthorne character can do is to withhold human sympathy, love, and forgiveness. Brown does. These humanistic themes are typical of the fairy tale. Luthi argues that human beings need other people; thus, it is this dependency which makes us human. Of course, it is more than just a dependency on others which makes us human, but the treatment of others is an important Hawthornian theme, as are the themes of sin, guilt, pride, isolation, the past, and violation of the purity of the human heart. The theme of forgiveness lies at this story's center: "Often, awakening suddenly at midnight, he shrank from the bosom of Faith, and at morning or eventide, when the family knelt down at prayer, he scowled, and muttered to himself, and gazed sternly at his wife, and turned away" (289). Brown fails to see that he is a sinner like the others and isolates himself: "[T]hey carved no hopeful verse upon his tomb-stone; for his dying hour was gloom" (289).

The biggest change in fairy tale elements that Hawthorne makes in this tale is the use of the negative helper and Brown's failure to handle the knowledge that he gains about his fellow townspeople. The supernatural helper leads Brown into evil rather than the success typical of the fairy tale. Hawthorne combines the fairy tale elements with biblical, spiritual lessons. To be human is to be tainted with sin. Similar to Adam, Brown has forbidden knowledge. Yet, this

knowledge does not cause Brown to feel empathy for his fellow humans and thus forgiveness. He allows his pride to judge others, and thus he recoils. By imbuing the tale with supernatural, spiritual, and psychological elements, Hawthorne constructs a cautionary tale for all human beings.

"Rappaccini's Daughter" is another example of how Hawthorne modifies fairy tale elements using point of view, the supernatural or magical, psychological characterization, and theme.

Beauty, sexuality, and obsession are the main themes at work in "Rappaccini's Daughter," but it will be helpful first to establish how Hawthorne creates a supernatural atmosphere to convey these themes through the tale's setting.[6] A sense of wonder, enchantment, and fantasy pervade the tale. Hawthorne conveys these qualities through setting. The story is set in the secret garden of Signor Giacomo Rappaccini, but this is no ordinary garden. In what seems to be a refashioned Garden of Eden, the plants are rare, exotic, and deadly. Hawthorne creates a Garden of Evil, which both attracts and repels. The narrator tells us that the plants were "gorgeously magnificent" (978). One plant had "a profusion of purple blossoms, each of which had the lustre and richness of a gem; and the whole together made a show so resplendent that it seemed enough to illuminate the garden, even had there been no sunshine" (978). The narrator goes on to say that plants filled urns while others "crept serpent-like along the ground,

or climbed on high, using whatever means of ascent was offered them" (978). The garden seems other-worldly, not of the natural world. The setting is particularly important for the other fairy tale elements in the story.

In this story, as with others, the point of view is a cross between third person objective and third person limited omniscient. The story is primarily reported to us. We are told what happens. However, our attention is centered on Giovanni Guasconti and his reaction to the beautiful Beatrice and the Rappaccini garden. It is only occasionally that we know what Giovanni is thinking and feeling, but even this limited detail serves to establish a distance between the reader and the characters. This distance contributes to the supernatural atmosphere of the story. For most of the tale, the narrator reports that Giovanni is becoming increasingly attracted to Beatrice. As the narrator describes this attraction, the reader becomes more interested. What Giovanni sees, feels, thinks, the reader feels as well. We enter Giovanni's mind when he is together with Beatrice:

> There came thoughts, too, from a deep source, and fantasies of a gem-like brilliancy, as if diamonds and rubies sparkled upward among the bubbles of the fountain. Ever and anon, there gleamed across the young man's mind a sense of wonder, that he should be walking side by side with the being who had so wrought upon his imagination—whom he had idealized in such hues of terror—in whom he had positively witnessed such manifestations of dreadful attributes—that he should be conversing with Beatrice like a brother, and should find her so human and so maiden-like. (992)

Giovanni's thoughts are described in fairy tale terms. There
is an emphasis on beauty. The narrator uses references to
"diamonds" and "rubies" to describe his thoughts. Luthi
suggests that such references are typical of fairy tales
because the tales have as their focus the beautiful. The
thoughts are directly related to Beatrice who has provoked
such "hues of terror." Luthi also states that the hero
typically faints at the sight of the beautiful. Giovanni seems
about to do just that. When Giovanni is alone in his chamber,
he thinks of Beatrice. He had once thought that she was a
supernatural creature; now, he realizes that she is human:
"She was human: her nature was endowed with all gentle and
feminine qualities; she was worthiest to be worshipped; she
was capable, surely, on her part, of the height and heroism of
love" (994). His view of her as supernatural and now human
have "transmuted into a golden crown of enchantment" (994).
Significantly, the narrator has chosen these scenes to enter
Giovanni's thoughts. By doing so, the narrator accentuates the
fairy tale qualities of their relationship. Prophetically, in
the same paragraph that Giovanni is sensing this rapture over
Beatrice, Giovanni notices the hand where Beatrice touched
him: "On the back of that hand there was now a purple print,
like that of four small fingers, and the likeness of a slender
thumb upon his wrist" (994). It will prove to be a deadly
stain, for it portends Beatrice's deadly qualities.

Hawthorne uses magical or supernatural helpers in this story as well. For example, Lisabetta is a minor character who seems to have supernatural or magical qualities. When she first appears in the story, she seems to have some hold over Giovanni Guasconti when he looks around his new apartment: "Guasconti mechanically did as the old woman advised" (977). It is Lisabetta who helps Giovanni gain access to the garden once he has seen Beatrice and wants to get closer to her: "He turned his eyes full upon the withered face that was puckering itself into a smile, but seemed to behold it not. The old dame, therefore, laid her grasp upon his cloak" (989). Lisabetta points out the private entrance to Rappaccini's garden, but not without telling Giovanni that many men in Padua would give gold to gain entry. Giovanni slips her a piece of gold. Lisabetta, with vestiges of the magical helper in the fairy tale, has aided Giovanni on his quest. Lisabetta is similar to the helper in "Young Goodman Brown." Just as the dark man of that tale led Brown to unhappiness, Lisabetta, too, is leading Giovanni to unhappiness.

The characterization of Rappaccini mirrors his psychology. The narrator tells us that the scientist looks like "no common laborer" but appears as "a tall, emaciated, sallow, and sickly-looking man, dressed in a scholar's garb of black. He was beyond the middle term of life, with grey hair, a thin grey beard, and a face singularly marked with intellect and cultivation, but which could never, even in his more

youthful days, have expressed much warmth of heart" (978). In a Hawthorne character, this is a deadly combination—too much intellect and not enough heart. This foreshadows that a disaster is in the near future. Rappaccini has allowed his monomania to make his daughter the most powerful on earth. His obsession will ultimately lead to her destruction. It is Rappaccini's distorted mentality which creates the dramatic tension of the story. He is wicked wizard, evil sorcerer, and villain rolled into one, but Hawthorne, by emphasizing Rappaccini's intellect, goes beyond the typical fairy tale villain. Rappaccini is more particularized. He is a devoted father even though his devotion has turned sinister. He is a scientific genius even though his genius is not for good, but evil. Even his rivalry with Baglioni serves to make Rappaccini more of an individual than a fairy tale type. Nevertheless, he is evil because he has violated the sanctity of Beatrice's heart.

Beatrice seems to be a supernatural character because of her beauty and her close association with the garden, which also seems to be a magical helper. Her beauty seems otherworldly, supernatural, magical. She is a young girl "arrayed with as much richness of taste as the most splendid of the flowers, beautiful as the day, and with a bloom so deep and vivid that one shade more would have been too much" (979). The narrator adds, "She looked redundant with life, health, and energy; all of which attributes were bound down and

compressed as it were, and girdled tensely, in their luxuriance, by her virgin zone" (980). Hawthorne has skillfully interwoven Beatrice and the garden. The two are essentially one and the same. Many times the narrator tells us that the deadly flowers and Beatrice are sisters. Beatrice says at one point, "Yes, my sister, my splendor, it shall be Beatrice's task to nurse and serve thee; and thou shalt reward her with thy kisses and perfumed breath, which to her is as the breath of life!" (980). The garden has become another character in the narrative. By anthropomorphizing the garden, Hawthorne has created another kind of magical relationship. The helper or donor in the fairy tale typically helps the human character. The plants have been cultivated to possess a potent power. This power has been in turn transferred to Beatrice in order to give her "marvellous gifts." Rappaccini asks whether these gifts will create misery: "Misery, to be able to quell the mightiest with a breath? Misery, to be as terrible as thou art beautiful?" (1005). This power conflicts with her ability to be human and have human relationships. This inability to have human relationships manifests itself most graphically with Giovanni, who falls in love with Beatrice, and who also seems to be the most "normal" human character until he becomes invested with the potency of Beatrice and the garden.

It is through Beatrice that Hawthorne deals with the theme of beauty. Similar to the fairy tale, where beauty is

frequently seen as shocking, the same is true in this tale. The second time Giovanni sees Beatrice she seems more beautiful: "On again beholding Beatrice, the young man was even startled to perceive how much her beauty exceeded his recollection of it, so brilliant, so vivid was its character, that she glowed amid the sunlight, and, as Giovanni whispered to himself, positively illuminated the more shadowy intervals of the garden path" (984). Later, he sees a drop of moisture fall on a lizard's head, and the lizard dies while Beatrice stands nearby. Beatrice plucks the fatal blossom and places it on her dress "with the dazzling effect of a precious stone" (985). Giovanni gasps: "Am I awake? Have I my senses?" said he to himself. What is this being?--beautiful, shall I call her?-or inexpressibly terrible?" (985). She is both, and Rappaccini has made her so. In contrast to the fairy tale where beauty is attainable, Hawthorne illustrates that Rappaccini has perverted the beautiful. Rappaccini, the scientist, has placed Beatrice in diametric opposition to natural beauty. In an attempt to make her powerful and not "a weak woman, exposed to evil, and capable of none" (1005), he has destroyed beauty primarily because he was unable to balance his intellect and the heart. He has violated the sanctity of the human heart, which in Hawthorne is an unpardonable sin. The tale ends unhappily.

Because Hawthorne has inculcated the story with fairy tale elements, he is afforded more freedom in dealing with

sexuality by sublimating such references under the guise of fantasy. Sexuality is particularly important in "Rappaccini's Daughter." By removing the tale from reality, Hawthorne is able to deal with the implicit sexuality of the tale. There is no indication that Giovanni and Beatrice have sexual intercourse. As a matter of fact, the narrator goes to great lengths to state the contrary:

> By all appreciable signs, they loved; they had looked love, with eyes that conveyed the holy secret from the depths of one soul into the depths of the other, as if it were too sacred to be whispered by the way; they had even spoken love, in those gushes of passion when their spirits darted forth in articulated breath, like tongues of long-hidden flame; and yet there had been no seal of lips, no clasp of hands, nor any slightest caress, such as love claims and hollows. He had never touched one of the gleaming ringlets of her hair; her garment--so marked was the physical barrier between them--had never been waved against him by a breeze. (995)

The narrator goes on to say that "on the few occasions when Giovanni had seemed tempted to overstep the limit, Beatrice grew so sad, so stern, and withal wore such a look of desolate separation, shuddering at itself, that not a spoken word was requisite to repel him" (995). Frederick C. Crews in The Sins of The Fathers: Hawthorne's Psychological Themes makes claims for sexuality in this short romance. However, I extend Crews's argument by suggesting that Hawthorne conveys the sexuality by indirection. Hawthorne conveys the sexual tension in his descriptions of Giovanni and the garden. These descriptions seem to be for a nineteenth-century sensibility. The narrator seems obligated to reassure the reader that there has been no sexual union. However, it is the magical, unrealistic quality

of the tale which allows the narrator to establish an intense, subliminal sexuality with the garden, which is Beatrice anthropomorphized.

The narrator's description of Giovanni and the garden is intensely sexual. When we first see Beatrice, there is an immediate connection between her, the garden, and sexuality: "She looked redundant with life, health, and energy; all of which attributes were bound down and compressed, as it were, and girdled tensely, in their luxuriance, by her virgin zone" (979-80). The "virgin zone" can refer to the garden, which cannot be penetrated by other mortals, or to her sexuality, which cannot be penetrated by men. The narrator says in the same paragraph that Giovanni feels that Beatrice is the same as the flowers: "as beautiful as they--more beautiful than the richest of them--but still to be touched only with a glove, nor to be approached without a mask" (980). This further reinforces Beatrice's virginity. Soon after Giovanni spies Beatrice for the first time, she sees him: "An impulsive movement of Giovanni drew her eyes to the window" (985). The narrator describes the scene in terms that suggest sexual tension: "Beatrice now strayed carelessly through the garden, approaching closer beneath Giovanni's window, so that he was compelled to thrust his head quite out of its concealment in order to gratify the intense and painful curiosity which she excited" (985). The description suggests more than just not wanting to be seen. Giovanni is under Beatrice's spell. Once

again the narrator describes the scene in such a way as to
suggest sexuality. He avoids the window for several days,
thinking that it would be wise to leave Beatrice and Padua. He
also thinks of "bringing her rigidly and systematically within
the limits of ordinary experience" (986). Giovanni seems to
feel that sex would make Beatrice a real woman and not this
rare flower. Giovanni decides to remain: "ought Giovanni to
have remained so near this extraordinary being, that the
proximity and possibility even of intercourse, should give a
kind of substance and reality to the wild vagaries which his
imagination ran riot continually in producing" (986). The
narrator could mean social intercourse, but "wild vagaries"
and "his imagination ran riot" suggest sexual intercourse.

Giovanni's entry into the garden suggests sexual
intercourse. Just before he goes into the garden, Giovanni
concludes that whether Beatrice is an angel or demon "he was
irrevocably within her sphere, and must obey the law that
whirled him onward, in ever lessening circles, towards a
result which he did not attempt to foreshadow" (989). Yet, he
has doubts as to "whether it were really of so deep and
positive a nature as to justify him in now thrusting himself
into an incalculable position--whether it were not merely the
fantasy of a young man's brain, only slightly, or not at all,
connected with his heart!" (989-90), or whether his pursuit
has to do with some other part of his anatomy. His entry into
the garden suggests sexual penetration: "Giovanni stepped

forth, and forcing himself through the entanglement of a shrub that wreathed its tendrils over the hidden entrance, he stood beneath his own window, in the open area of Doctor Rappaccini's garden" (990). Crews asserts, "The effect . . . is virtually pornographic" (123). He is inside the garden (Beatrice): "Day after day, his pulses had throbbed with feverish blood, at the improbable idea of an interview with Beatrice, and of standing with her, face to face, in this very garden, basking in the Oriental sunshine of her beauty, and snatching from her full gaze the mystery which he deemed the riddle of his own existence" (990). Ironically, Beatrice is not present when this entry takes place, but since Beatrice and the garden are one and the same, it is not illogical to suggest sexual overtones.

Once inside the garden, Giovanni looks around at the plants. The narrator says that Giovanni is dissatisfied. They are "gorgeous," "fierce," "passionate," "even unnatural" (990): "Several, also, would have shocked a delicate instinct by an appearance of artificialness, indicating that there had been such commixture, and, as it were, adultery of various vegetable species, that the product was no longer of God's making, but the monstrous off-spring of man's depraved fancy, glowing with only an evil mockery of beauty" (990-1). This could very well be a description of Beatrice. She is an adulterous commixture of various vegetable species, and Giovanni has just entered. Beatrice appears in the very next

paragraph: "There was surprise in her face, but brightened by a simple and kind expression of pleasure" (991). The two lovers are finally together. This is the climax of the story. Once Giovanni has made it into the garden, the narrative shifts and begins its downward spiral. When Giovanni approaches a shrub (Beatrice), Beatrice shrieks, "'Touch it not!' exclaimed she, in a voice of agony. 'Not for thy life! It is fatal!'" (993). The sexuality with the garden was acceptable, but real sexuality with Beatrice is verboten. She is much too powerful. Rappaccini has seen to that. In his monomaniacal obsession to endow Beatrice with "marvelous gifts," to make her "terrible" and "beautiful," to make her able to avoid evil but "capable of none," he has destroyed her. She says before she dies, "I would fain have been loved, not feared" (1005).

Hawthorne has imbued the tale with the fairy tale qualities through the magical setting, the third person omniscient point of view, supernatural and psychological characterization, and the theme of beauty. Not only can he give the tale a sense of enchantment and wonder by doing this but he can also personify typical fairy tale themes by having characters represent such abstract qualities as beauty. More importantly, by removing the tale from reality, he is able to deal with the implicit sexuality of the tale. Hawthorne weaves a tragic tale of extreme beauty placed out of the reach of mortal men. Hawthorne tells humankind that science can go too

far and ultimately destroy that which is precious. The fantastical part of the story allows him to deal with sex subliminally. Beauty is destroyed, and all live unhappily ever after.

"The Birth-Mark" is yet another example of how Hawthorne modifies fairy tale elements using point of view, the supernatural or magical, psychological characterization, and theme.[7]

Third person limited omniscient point of view plays a prominent role in this story. The narrator focuses on Aylmer's obsession over Georgiana's birthmark. It is his obsession which stays at the forefront of the narrative. Unlike the other stories under discussion, where there is some delay in telling the reader what the characters think, the narrator immediately establishes the story's focus: "He [Aylmer] had devoted himself, however, too unreservedly to scientific studies, ever to be weaned from them by any second passion. His love for his young wife [Georgiana] might prove the stronger of the two; but it could only be by intertwining itself with his love of science, and uniting the strength of the latter to its own" (764). The story's focus is the tension that this point of view creates. Aylmer sees the birthmark on Georgiana's cheek as a fatal flaw to her loveliness:

> Had she been less beautiful--if Envy's self could have
> found aught else to sneer at--he might have felt his
> affection heightened by the prettiness of this mimic
> hand, now vaguely portrayed, now lost, now stealing forth
> again, and glimmering to-and-fro with every pulse of
> emotion that throbbed within her heart. But, seeing her

otherwise so perfect, he found this one defect grow more
and more intolerable, with every moment of their united
lives. (766)

By using a limited point of view, Hawthorne offers a more detailed character study of Aylmer. The typical fairy tale would see Aylmer only as the mad villain, but there is more going on than just being mad. Seeing the story from Aylmer's perspective, we see a person confused and obsessed.

The point of view also highlights Aylmer's psychological state. Other than Aminadab, Aylmer's assistant, Aylmer and Georgiana are the only characters; however, all are isolated, Aylmer especially. Aylmer's psychological state is revealed through his obsession over the birthmark:

> With the morning twilight, Aylmer opened his eyes upon
> his wife's face, and recognized the symbol of imperfec-
> tion; and when they sat together at the evening hearth,
> his eyes wandered stealthily to her cheek, and beheld,
> flickering with the blaze of the wood fire, the spectral
> Hand that wrote mortality, where he would fain have
> worshipped. (766)

The removal of the birthmark becomes his obsession. When Georgiana asks Aylmer whether he has dreamt of the birthmark, Aylmer ignores the dream's dark portent. Aylmer remembers his dream:

> He had fancied himself, with his servant Aminadab,
> attempting an operation for the removal of the birth-
> mark. But the deeper went the knife, the deeper sank the
> Hand, until at length its tiny grasp appeared to have
> caught hold of Georgiana's heart; whence, however,
> her husband was inexorably resolved to cut or wrench it
> away. (767)

Significantly, Aylmer was unaware of the dream or its meaning until Georgiana questions him about it. Truth comes to Aylmer,

and he has "a guilty feeling" (767). However, he lies to Georgiana when he says, "'Dearest Georgiana, I have spent much thought upon the subject,' hastily interrupted Aylmer--'I am convinced of the perfect practicability of its removal'" (768). It is because of the third person limited omniscient point of view that the reader detects the irony, the contradiction, which in turn accentuates the foreshadowing of Georgiana's death. In the typical fairy tale, the narrator could indicate this kind of irony through action. Here it seems more sinister because Aylmer has deliberately lied to his wife in order to subject her to his scientific experiment, which is far more important and, in turn, more deadly than telling his wife the truth. Aylmer, man of science, has sacrificed his humanity because of his obsession. He does not know where to draw the line between science and humanity. "[H]e had studied the wonders of the human frame, and attempted to fathom the very process by which Nature assimilates all her precious influences from earth and air, and from the spiritual world, to create and foster Man, her masterpiece" (769). He fails to realize that "our creative Mother, while she amuses us with apparently working in the broadest sunshine, is yet severely careful to keep her own secrets, and, in spite of her pretended openness, shows us nothing but results" (769). The narrator concludes, "She permits us to mar, but seldom to mend" (769).

There is also the suggestion that Aylmer suffers from impotency. His obsession with scientific power may indicate sexual dysfunction and may suggest his psychological motivation for acting the way that he does. Certainly, Hawthorne would have been unable to deal with such a subject directly in nineteenth-century fiction. During one of their first trips to the laboratory (which appears to be a boudoir), Aylmer practices putting Georgiana to sleep. He is successful. Upon waking, Georgiana needs soothing about the process. Aylmer performs some experiments to indicate his success: "When wearied of this, Aylmer bade her cast her eyes upon a vessel, containing a quantity of earth. She did so, with little interest at first, but was soon startled, to perceive the germ of a plant, shooting upward from the soil. Then came the slender stalk--the leaves gradually unfolded themselves-- and amid them was a perfect and lovely flower" (771). Georgiana pronounces the phenomenon magical, and Aylmer invites her to touch it. Aylmer says, "The flower will wither in a few moments, and leave nothing save its brown seed- vessels--but thence may be perpetuated a race as ephemeral as itself" (771). Georgiana touches it, and it fades: "'There was too powerful a stimulus,' said Aylmer thoughtfully'" (771). Through indirection, Hawthorne is able to discuss Aylmer's sexual dysfunction.

"The Birth-Mark" draws on the fairy tale for its sense of magic and the use of supernatural or magical helpers. The

birthmark seems magical: "Georgiana's lovers were wont to say, that some fairy, at her birth-hour, had laid her tiny hand upon the infant's cheek, and left this impress there, in token of the magic endowments that were to give her such sway over all hearts" (765). Women have the opposite reaction to it: "Some fastidious persons--but they were exclusively of her own sex--affirmed that the Bloody Hand, as they chose to call it, quite destroyed the effect of Georgiana's beauty, and rendered her countenance even hideous" (765). This antipodean view is typical of the fairy tale. We have two opposite views of the same thing.

Aylmer seems to have an earthly, supernatural helper in Aminadab. Ironically, Aminadab does exactly as he is told, rather than guiding Aylmer to success: "With his vast strength, his shaggy hair, his smoky aspect, and the indescribable earthiness that incrusted him, he seemed to represent man's physical nature; while Aylmer's slender figure, and pale, intellectual face, were no less apt a type of the spiritual element" (770). Significantly, it is Aminadab who says repeatedly throughout the story, "If she were my wife, I'd never part with that birth-mark" (770). Aminadab has a sensibility of which Aylmer is not capable. Aylmer, also, has a supernatural and magical quality. Aylmer seems to perform acts of prestidigitation before Georgiana: "Airy figures, absolutely bodiless ideas, and forms of unsubstantial beauty, came and danced before her, imprinting their momentary

footsteps on beams of light" (771). This makes Aylmer seem to be more magician than scientist. In addition, Aylmer seems to be the anti-hero, according to Luthi's definition. For the fairy tale hero, things happen as they should, and the hero is successful. The anti-hero is unsuccessful. Aylmer's failure at other experiments foreshadows his failure with Georgiana.

"The Birth-mark" also has beauty as its theme. Typical of the fairy tale motifs, beauty is shocking. Aylmer says to Georgiana that such imperfection could never be on your face: "No, dearest Georgiana, you came so nearly perfect from the hand of Nature, that this slightest possible defect--which we hesitate whether to term a defect or a beauty--shocks me, as being the visible mark of earthly imperfection" (765). Ironically, the shock to Aylmer is not because of the birthmark's beauty but because of its hideousness. Aylmer fails to see that the birthmark is emblematic of Georgiana's humanity. It is his quest to remove it which creates the dramatic tension of the narrative. This is a typical Hawthorne theme: one human being is sitting in judgment of another. It is the stain of humanity which Aylmer cannot tolerate on Georgiana, yet he fails to realize that, he, too, carries an even deadlier stain--intellectual pride.

Similar to "Rappaccini's Daughter," "The Birth-mark" deals with the destruction of beauty. Sleeping Beauty (Georgiana) does not awaken when her prince kisses her. Her "prince" Aylmer removes the birthmark, which leads to her

death: "While thus employed, he failed not to gaze often at the fatal Hand, and not without a shudder. Yet once, by a strange and unaccountable impulse, he pressed it with his lips. His spirit recoiled, however, in the very act, and Georgiana, out of the midst of her deep sleep, moved uneasily and murmured, as if in remonstrance" (779). There will be no waking this sleeping beauty from her sleep. The cold, intellectual scientist has succeeded in slaying beauty. Once again Hawthorne's theme is at work. There must be a balance between head and heart. Aminadab has it. Georgiana has it, but Aylmer does not. Aylmer is the anti-hero, according to Luthi's definition of the anti-hero. Things do not happen for him. Rather than extend grace, help, and love, he allows his obsession to take precedence and slay the beautiful: "The momentary circumstance was too strong for him; he failed to look beyond the shadowy scope of Time, and living once for all in Eternity, to find the perfect Future in the present" (780).

Hawthorne has combined two themes, violence and beauty, in these stories. In "The Birth-Mark" and "Rappaccini's Daughter," beauty is destroyed because of humans. This is the very antithesis of the fairy tale where beauty is revered, upheld, triumphant. Hawthorne has taken one of the fairy tale's most important themes and slain it. Luthi states in The Fairy Tale as Art Form and Portrait of Man that the fairy tale offers us the following view of man: "He is capable of transformation and development; he can be successful and he

can fail; he can be the savior or the destroyer of others . . . . He can be rescuer and he can be rescued" (150). Hawthorne does not always show the characters successfully working out their salvation. Humankind's refusal to reach out to one another is Hawthorne's heart-wrenching lesson. However, his stories are not without a measure of hope. In many respects, Hawthorne foreshadows the existential despair of Modernism. There is a hand-wringing despair about the plight of the human. Many of the stories are cautionary tales telling the reader to avoid the plights of these characters by forgiving, loving, and imagining. Hawthorne offers us two views of the human. In his stories designed specifically for children, the hero is rescuer. In the adult stories which I have discussed here, the hero destroys other humans.

CHAPTER IV
ENDNOTES

1. Rather than the six characteristics that I used in Chapter Three, I have five characteristics in this chapter by combining fairy tale openings and closings with organization.

2. There are other stories, such as, "The Snow-Image: A Childish Miracle" and "Young Goodman Brown," that have magical or supernatural forces, but I will discuss these stories in more detail in section II of this chapter.

3. Cooper examines "Alice Doane's Appeal," "Artist of the Beautiful," "Ethan Brand," "The Man of Adamant," and "Rappaccini's Daughter" to prove her thesis that Hawthorne "frequently creates an ambiguity essential to his definition of romance through discourse that could be read as either the voice of the narrator or the thoughts of a character" (497). She makes no mention that this technique creates a sense of magic in the tales nor does she suggest that it resembles a fairy tale convention. However, she paraphrases Brian McHale and Janet Holmgren McKay when she observes that "A point of view that distances the author/narrator from the text contributes to realistic fiction so that a text with a high incidence of direct dialogue or character thoughts would be fairly mimetic, the dichotomy between realism and fantasy or myth being the difference between representation and reporting" (503). She concludes, "Lying between Poe's tales of fantastic horror through primarily narrator discourse and

Twain's realistic direct dialogue is the romantic neutral territory" (503).

4. Rather than examining in two separate categories symbolic characterization and point of view, I am combining the two here into the same category because of the way Hawthorne modifies the two fairy tale conventions.

5. "Rappaccini's Daughter" and "The Birth-mark" suggest strong relationships to famous fairy tales--"Sleeping Beauty," "Snow White," "Brier Rose," and "Rapunzel"--because of the isolation of the female characters and the focus on beauty. Unlike the fairy tale characters, who are ultimately delivered from their plights, Hawthorne's female characters are destroyed.

6. I depart from my order of discussion to emphasize the vital importance of the setting in this particular story. Setting is important in many of Hawthorne's stories, but particularly so in this story, especially since I draw a connection later between Beatrice and the garden being one and the same. In addition, the garden is imbued with a strong sense of the magical and supernatural.

7. The story seems to be Hawthorne's version of Mary Wollstonecraft Shelley's <u>Frankenstein, or the Modern Prometheus</u> (1818). Shelley wrote her story after exchanging German ghost stories with Percy Shelley and Byron. Her story might even be considered a fairy tale novel since it has many fairy tale qualities. Hawthorne wrote his story in 1843.

CONCLUSION

I have attempted to show that the fairy tale genre plays a significant role in Nathaniel Hawthorne's canon, especially in his stories designed for children. However, he uses the fairy tale elements in his tales for adults as well.

His tales for children are abundant with fairy tale plots, formulas, conventions, magical elements, and themes. Most of the stories that I examined end happily, with the hero successfully completing his mission.

In the tales designed for a more sophisticated, adult audience, he expands and modifies the fairy tale charac-teristics. In some tales he exaggerates, distorts, or satirizes fairy tale elements. However, he makes the most dramatic change in his handling of point of view, by going into the minds of the characters rather than having the narrator report the action. By doing so, he also gives these characters greater psychological realism, and this realism tends to draw the reader intimately into the tale. Rather than having a character who seems to be a cartoon cutout, Hawthorne imbues the character with an emotional realism absent in most fairy tales. Nevertheless, and, significantly, he retains the symbolic, allegorical representation of the characters. In doing this, Hawthorne lifts the significance of the character to universal proportions, and, thus, reinforces the moral or ethical importance of the character and the theme.

Hawthorne retains two of the most fundamental qualities of the fairy tale: magic or the supernatural and fairy tale themes. Pervading Hawthorne's work is a supernatural, unreal world. It is a world, as he tells us, between the real world and fairy land. Ghosts, witches, and other supernatural beings frequently appear to offer assistance to human characters. In the traditional fairy tale, the human characters gratefully accept this assistance. In Hawthorne's tales, the human characters, with, typically, dire consequences, fail to accept the help that is being offered. This isolation underscores many of Hawthorne's humanistic themes. He deals with things which make his characters human: sin, guilt, suffering, pain, loneliness, pride, manipulation, and intolerance, and these themes are as large and as dangerous as any fire-breathing dragon. The point must be made that Hawthorne does not offer the themes in a nice, neat moral tacked on to the end of his tales with all working out happily in the end for his characters--quite the contrary. Unlike the fairy tale where most everyone lives happily ever after, in many Hawthorne tales the characters generally live unhappily ever after.

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