TOLKIENIAN ESSAYS

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Contents

To Didi:
Something good does come out of reading after all

INTRODUCTION

Writers have rarely, if ever, managed to accomplish what the great J.R.R. Tolkien did - he mastered two remarkably difficult areas of creation, the first one being mythopoeia, or myth-making, by creating an entire mythology, and the second glossopoeia, or language-making, by creating the grammar, vocabulary and pronunciation basis for 15 languages. His literary works have amassed a huge following of fans and academic circles have slowly come to appreciate and re-evaluate his works and his contribution to literature in general. So much so that in 2000 author Tom Shippey published a book entitled *J.R.R. Tolkien: Author of the Century.* According to many, Shippey succeeded in building a strong case for Tolkien indeed being the most significant author of the 20th century.

Tolkien's world- and myth-making is particularly well-analysed through the prism of analytical psychology which three of the essays in this collection do. The first one offers an alternative approach and interpretation from a Jungian point of view of The Lord of the Rings trilogy, the second one analyses one particular Jungian archetype, that of the Anima, whereas the third presents a look into another one of the archetypes, that of the Shadow and its collective aspect in particular.

The fourth essay takes a look at the portrayal of evil in Tolkien's *The Lord of the Rings* trilogy, and compares it with the portrayal of evil in another saga, that of George Lucas' *Star Wars*. The final essay re-examines some of the

aspects of Tolkien's writing that might be considered Neoromantic and specific to the rise of the genre in recent decades.

All essays have previously been published elsewhere and will, hopefully, serve as contributions to Tolkienian scholarship in the Republic of North Macedonia and the Balkans in general.

A JUNGIAN VIEW OF J.R.R. TOLKIEN'S *THE LORD OF THE RINGS*

Abstract: A literary hermeneutic model based on the theories of Carl Gustav Jung, called archetypal interpretation or Jungian interpretation, has steadily been present on the literary scene since the 1950's and, in the second half of the 20th century, rivalled even the more prominent hermeneutic models. Even though some of Jung's ideas are now considered outdated or have been met with fierce criticism by the modern critics, the popularity of archetypal interpretation has not abated much in the 21st century, in which a revival of Romantic ideas, named neoromanticism, popularized once again the interest in Jung's theory of archetypes. He was primarily interested in the images in literary works, i.e. the symbols and archetypes, and hence, a Jungian interpretation of a literary work analyses these archetypal images and insists that the archetypes define the form and the function of a literary work – the function is seen as mainly compensatory – whereas the meaning of a text is sculpted by the cultural and psychological myths. A prime example of a literary work abounding in archetypal content is the mythological creation of J.R.R. Tolkien, *The Lord of the Rings*. We have written extensively about the actualizations of specific archetypes in the trilogy, so for the purposes of this essay, we are going to give a more general look at the trilogy through the prism of Jung's ideas on individuation and the four psychological functions.

Structured abstract: Each work of literature can be approached from different perspectives and some literary works are more suitable for one kind of analysis, whereas others need a different hermeneutic method. Literary works have been analyzed or criticized for centuries and different methods have been developed by critics. Some of the most popular models of interpretation include: cultural criticism, feminist criticism, psychoanalytic criticism, Marxist criticism, New Criticism (also known as formalism or structuralism), New Historicism, post-structuralism, and reader-response criticism, with new methods being introduced in recent decades as well – author intention, cognitive scientific, queer, to name but a few. Each of these types of criticism has its own methodology and approach; some of them focus their attention on the content and form of the literary work, some on the author, while others on the reader and the reader's experience of the literary work.

What distinguishes our hermeneutic model, known as archetypal criticism or Jungian interpretation, is the fact that the founder, renowned psychiatrist Carl Gustav Jung (1875-1961), never devised a system or any sort of systematic methodology in approaching literary works, or works of art in general. In some of his writings, he does analyze different works of art as well as literary works, but he does so to exemplify his ideas on the human psyche, mainly the collective unconscious and the archetypes. In his theory, he kept revising the definition and view of the archetype through the years, and we share most of his followers' belief that no single, precise definition of archetypes can be made – it was of utmost importance, therefore, to him to show us examples of archetypal content

and, apart from dreams, there is no better source than art (literature included).

Jung emphasized the importance of the distinction between archetype and archetypal image. Whereas archetypes are functional organizational principles of meaning transmitted through biological inheritance, archetypal images are the actual representations of the archetype, their 'visible' form, that takes on the coloring of the given historical moment. In other words, archetypes are unfathomable and all we are able to see or analyze, are archetypal images.

When it came to literature and works of art in general, Jung, in his essay "Psychology and Literature" made the distinction between the psychological and visionary mode. The works of the psychological type stem from the known, collective consciousness, whereas the visionary ones draw from the collective unconscious. Psychological art and literature satisfy the conventional aesthetic categories and the work is its own psychologist, its own analyst. The visionary art, on the other hand, Jung says, is sublime, arising from timeless depths – it is glamorous, demonic and grotesque and it has the capability to burst asunder our human standards of values and aesthetic form. It is this type of art that abounds in archetypal content.

There is rarely a literary work that is more suitable for Jungian analysis than J.R.R. Tolkien's epic fantasy trilogy, *The Lord of the Rings*. Yet, it is quite astounding how the number of such analyses amounts to barely a few. The trilogy is not just a sublime example of mythopoeia in which Tolkien created an entire mythology spanning over four ages, but an example of glossopoeia, in which he created multiple languages – some more developed than others, but two (Sindarin and Quenya) are fully developed lin-

guistic systems with their own phonology, grammar and vocabulary.

The trilogy not only reflects multiple actualizations of specific archetypes – the Shadow, the Anima, the Self, but one can find examples of the other parts of Jungian theory, such as the theory of psychological types as well as his central notion of individuation. It is, therefore, only logical that one should ask the obvious question of whether Tolkien was at all familiar with the theories of Jung when he wrote the trilogy? Circumstantial evidence was to be found in several examples of Tolkien's life and works, yet recently more specific proof was unearthed by a Tolkienian scholar. However, even if Tolkien knew of Jung and his ideas, it is impossible to try and consciously create a world which reflects his archetypes and the collective unconscious, as another author found out. The collective unconscious is an independent force that channels itself through individual authors but cannot be controlled or shaped beyond what it is trying to achieve itself.

We felt that of the two Jungian interpretations of *The Lord of the Rings* available, neither fully grasped the essence. They are both equally valid interpretations in their own right, yet we felt that the notion of quaternity, which Jung valued greatly in the later stages of his career, contains the key to the archetypal interpretation of this trilogy.

* * *

J.R.R. Tolkien's trilogy *The Lord of the Rings* seems to never abate in popularity[1] – over 60 years since its publication and over 15 years since its filmed versions, the world awaits yet another coming to life on the big screen of Tolkien's epic mythology, this time in the form of TV

1. The trilogy ranks fourth in the top 10 most read books in the world in the 20th century.

series[2]. However popular it may be nowadays, upon publication, the trilogy received mixed reviews and literary scholars have been slow to come to appreciate the true mastery of Tolkien's mythopoeia and the extent of his genius. The trilogy is inexhaustible in its symbolism and possible hermeneutical approaches or interpretations, but this essay will look at several of its aspects from a Jungian point of view. Interestingly, several interpretations are possible even within this single hermeneutic model.

Only a few Jungian analyses have actually been attempted to investigate Tolkien's mythology from the point of view of archetypes – Pia Skogemann says that "*a Jungian approach to The Lord of the Rings seems to be so obviously relevant that you would expect a Jungian to have published an analysis of it long ago…yet I found only one title using a Jungian approach*" (2009:x). As the trilogy seems so obviously appropriate for Jungian analysis, two questions seem to rise spontaneously to the researcher: first of all, was Tolkien familiar with Jung's theory; and secondly, did he consciously strive to follow the development of personality in his mythology and create credible actualizations of Jung's archetypes in the story?

Timothy O'Neill, the one author Skogemann refers to in the previous quotation, points out several clues (1979:163-164) in Tolkien's life and works that might help answer these questions. The first example is with Númenor, whose name is related to one of Jung's favorite concepts of numen[3] or numinosum, which he assigned to the energy stored in the unconscious. Not only in its

2. Amazon bought the rights for 250 million dollars, making the series the most expensive in the history of television.
3. From the Latin nuere, to nod assent; it has a broader meaning of divine assent, divine will, the power of the gods accruing to a person, act or idea.

name, but there is a connection to Jung's theory as well, or as O'Neill says:

> "Númenor was the symbol of the original dissociation of the Children of God from the will of the Valar […] its loss, symbolically into the darkness of the unconscious, is the real beginning of Man's movement to one-sidedness…" (163)

The symbolic stature of Númenor as a powerful emotional relic of Man's past implies that both words derived from the same source for the same reason.

The second example is the name of Jung's private collection of fantasies and drawings of the mandala he calls *The Red Book*. According to O'Neill, "*the parallel with the hobbits' chronicle, the Red Book of Westmarch, is rather startling…they are physically identical (handwritten red leather-bound manuscripts) and similar in theme*" (164). Furthermore, one of the British editions of *The Lord of the Rings* is illustrated with drawings made personally by Tolkien that bear a striking resemblance to mandalas.

Furthermore, new evidence has surfaced in recent years. In his essay "*More Light than Shadow? Jungian Approaches to Tolkien and the Archetypeal Image of the Shadow*" Thomas Honegger states:

> "I had first come across concrete evidence for Tolkien's acquaintance with Jung's concept while working on the Professor's academic papers in the Bodleian in Summer 2006. Two references to Jung are to be found on a single sheet of paper among his notes for the lecture '*On Fairy-stories*' (Bodleian Tolkien MS. 14, Folio 55 recto) consisting of the single name '*Jung*' in a list of authors and scholars to be mentioned, and the note '*Jung Psych of the unconscious*' on the same page."

If this is not proof enough and if, on the other hand, Tolkien was not familiar with Jung's work, then his novels are even more in favor of confirming the theory of eternal images in the collective unconscious of humans. The trilogy is fascinating and has kept the attention of millions of readers for decades precisely because of its polysemy which offers a vast field of interpretations to the reader, and because of the attraction that our unconscious fantasies find in the imaginary world of Tolkien and its inhabitants. The archetypes are most commonly found in dreams, myths, fairy tales and fantasies and the world of Tolkien contains elements of all of these, establishing and maintaining a dynamic connection with the psyche of each individual.

In Tolkien's trilogy, but also in his other works (such as *The Hobbit*, and the posthumously published *Silmarilion*), we can find a plethora of archetypes, both personified (in individual characters) as well as transforming[4] – to mention but a few: entering mysterious forests, magic, rituals, descent into dark and dark places, numerous mandala elements, and so on.

A Jungian analysis of the trilogy is not a straightforward task, or as Skogemann says "*once I got to work on my interpretation, suddenly nothing seemed quite so clear; the material in the trilogy is truly profound and there are many layers to work with*" (x).

In her analysis, she approaches the characters of Frodo and his three Hobbit friends – Sam, Merry and Pippin – as the four aspects and phases of the Ego which coincide

4. "archetypes are divided in form and function into personifying and transforming varieties…the personifying archetypes generally take human or anthropomorphic form, and are expressed symbolically as human or humanlike figures. Transforming archetypes are nonpersonal situations and forms (quaternity, order, mandala, etc.) that have significance in psychic development." (O'Neill, 1979:33)

with Jung's four functions of consciousness: Sensation (Merry), Intuition (Pippin), Thinking (Frodo) and Feeling (Sam). This model of interpretation seems valid and does allow interesting insights, if one follows it through the trilogy. It, however, leaves out a very large number of the other characters who are also of importance.

Patrick Grant, on the other hand, in his essay *Tolkien: Archetype and Word*[5] presents a view of Frodo and Aragorn as the two aspects of the Hero archetype – "*Frodo his childlikeness, Aragorn his nobility and power*", and this is another valid and interesting interpretation.

There is, also, a (in our opinion, mistaken) tendency to view the trilogy as the individuation process of Frodo – the ordinary little Hobbit who goes on a journey through his own mind, in order to destroy evil. The above-mentioned O'Neill even goes as far as to entitle his book *The Individuated Hobbit*. However, we will show that this is not the case, as Frodo is not only not individuated, but *cannot* be individuated, if we follow Jung's theory closely.

In our opinion, there is an aspect of Jung's theory which is of great importance for the interpretation of the trilogy and it is an aspect to which Jung himself gave invaluable meaning – the *quaternity* (and multiple quaternities), as the archetypal image or representation of the Self. Examples of this are the cross or the eightfold path in Buddhism. For Jung, the quaternity "*symbolizes the possibility of becoming conscious*" (in Skogemann, 1992:189) and becoming conscious is the greatest achievement one can accomplish.

Unlike the quaternity, the trinity is disturbingly asymmetrical and incomplete[6]. Jung says:

5. http: //www. crosscurrents. org/tolkien.htm
6. In the context of Christian symbolism, Jung writes of the trinity and the quaternity in at least two of his books (Psychology and Religion, and Aeon –

> „The quaternity is an archetype of almost universal occurrence. It forms the logical basis for any whole judgement...Three is not a natural coefficient of order, but an artificial one. There are always four elements, four prime qualities, four colors, four castes, four ways of spiritual development, etc. so, too, there are four aspects of the psychological orientation…" (Jung, 1970:167)

Also, according to Aniela Jaffé:

> „A quaternity or quaternion often has a 3+1 structure, in that one of the terms composing it occupies an exceptional position or has a nature unlike the others…this is the "Fourth" which, added to the other three, makes them "One", symbolizing totality." (Jaffé, in O'Neill, 1980: 148-149)

In Tolkien's mythology, there are multiple quaternities, starting with the Four Ages: the First Age is the age of Elves and the unconscious, whereas the consciousness of Man is primitive and dominated by the unconscious. In the Second Age, with the fall of Morgoth, Man is mature and his consciousness is expanding, but during this expansion, it loses touch with the past and its archetypal foundation, leading to the complete alienation of the conscious and the unconscious in the Third Age, during which the spiritual desolation leads to neurosis. The great battle for Middle-earth which decides the fate of the world ends with the beginning of the Fourth Age, in which a balance must be achieved between the conscious and the unconscious, otherwise the unconscious will swallow the

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Researches into the Phenomenology of the Self). He says: "even though the central Christian symbol is the Trinity, the formula of the unconscious mind is represented by a quaternity…the Christian formula is incomplete because the dogmatic aspect of the principle of evil is missing from the Trinity…it can easily be supposed that the fourth aspect is the Devil (Psychology and Religion, 73-74)…but the old (medieval) philosophers symbolized the fourth aspect with the Virgin, adding the female element to the Trinity (76).

world. This is the story we find in the trilogy. By different characters facing their personal and collective Shadows, and by accepting and integrating the Anima, their victory brings balance to the psychological forces, the psyche of Man is in equilibrium and the golden age of Man begins.

Another example of a quaternity is with the rings. The One Ring completes the quaternity with the only remaining three Elven rings (the Rings of Air – Vilya, Water – Nenya and Fire – Narya) with the One Ring signifying Earth, having been created in the cracks of earth itself, perfect, symmetrical and forged from, allegedly, pure gold. Even though it, in essence, has evil powers, it is quintessential as an element, because evil is present in the world since its making. Evil in the mythology of Tolkien is imperfect, embodied in the Trinity of Melkor (the Shadow of God, known in later ages as Morgoth), Sauron and Saruman.

Jung's followers, continuing his research into the yin and yang principles, have divided up into four aspects, or archetypes, the psyche of man and woman. Edward Whitmont (1912-1998) concluded that there are predominant traits in the masculine psychology and he called them Father, Son, Hero and Wise Man.[7] If we call this the quaternity of Man, it leads us to our own model for interpreting the trilogy from a Jungian point of view.

According to Moore & Gillette (in Bogart, 2009:112) "*the son…is a man searching for relationships and his own individuality*" which, for certain, is true of Frodo in the trilogy, where his friendship with Sam is further established and, at times, pivotal to the plot, and he makes new friends along the journey. He also seeks his own individuality, mostly in the fact that he decides to leave the Shire (a

7. Edward Whitmont in Stevens, 2004: 212.

thing quite uncommon for Hobbits) but also when he decides to break away from the fellowship and continue the quest by himself. The father archetype "*maintains order, manifests fertility and blessing and represents feeling calm, centered and a sense of inner authority*" (ibid.). Although this description does not fit Bilbo at first glance, let us not forget that he is a Hobbit, first and foremost, and these qualities do match the qualities of Hobbits. Frodo is in reality Bilbo's cousin, but he is, nonetheless a father figure, because he adopted him as his heir, when Frodo's parents died. The hero archetype "*fights, battles, strives…he symbolizes instinctual energy, intense experience, outpouring of life force…decisiveness, aggressiveness, training, skill, power, bravery and valor, self-control, loyalty to a cause, a people, a task or a nation…*" (ibid.). This description fits Aragorn perfectly. As does the description of the Wise Man archetype, which "*often appears as shaman, healer, or medicine man…the scholar, teacher, sage, seer, philosopher…an initiate of secret, hidden knowledge and is the wise ritual elder who guides processes of transformation, initiating others*" (ibid.). Nothing could be more true of Gandalf.

Furthermore,

> "the function of the hero archetype is to separate the boy from the unconscious… in order to establish an independent, individual masculine standpoint. The hero, however, is a transitional figure who needs to make way for the mature archetype of the king" (1991:56).

This is also very true for the relationship of Aragorn to Frodo, whose task is to shield him from the unconscious or evil hordes of the Nazgûl, the orcs, and Sauron himself. It is also remarkably true that in the trilogy, Aragorn is

transformed from a warrior hero to a mature and wise king.

Therefore, if we do not look at the trilogy as having one or two main characters (Frodo or Aragorn), we can follow the psychological journey of the quaternity represented by Bilbo Baggins, as the personification of the Father archetype, who bestows upon his adopted Son, Frodo, the One Ring (interestingly, they are both born on the same date – September 22), and we see Aragorn as the personification of the Hero figure and Gandalf as the Wise Man figure. This quaternity is one character, one whole, and its parts or elements work together, helping each other, but they also separately face the actualizations of their own and collective Shadows and Aragorn is responsible for integrating the Anima archetype. This is why with the victory, the Age of Man begins, because this quaternity symbolizes Man, or in other words "*around the drama of these relatively few personalities has swirled the greater, turbulent, individuation of a culture, the rebirth of Middle-earth*" (O'Neill, 1980:139).

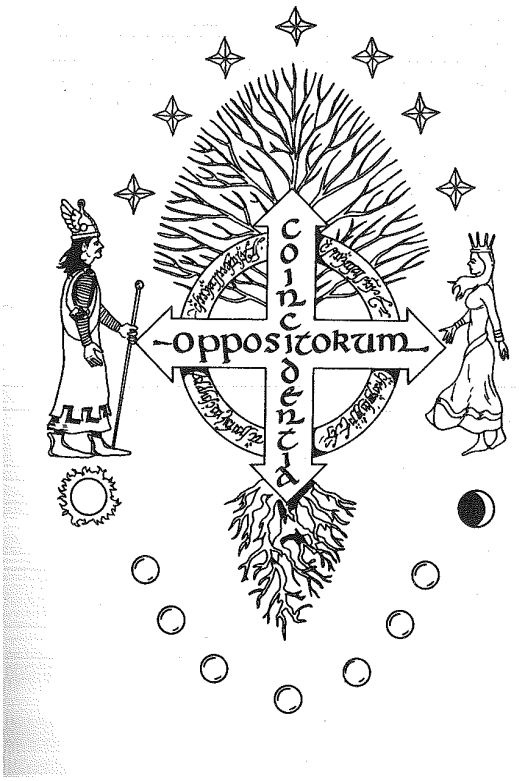
Furthermore, even though the fellowship of the ring in the beginning comprises of nine members, with the death of Boromir at the start of the journey, they remain eight or a double quaternity, yet again showing and proving that this is a collective principle of individuation. All eight members of the fellowship come together once again for the final battle.

At the end of the Third Age, as we mentioned previously, the unconscious slowly starts to wake as do its dark forces, and

"some spoke in whispers of the Enemy and of the Land of Mordor…that name the Hobbits only knew in legends of the dark past, like a shadow in the background

of their memories; but it was ominous and disquieting… the Dark Tower had been rebuilt…from there the power was spreading far and wide and away far east and south there were wars and growing fear." (Tolkien, I: 47)

It is interesting to note that, from the quaternity symbolizing Man, all four face the minions of the collective Shadow, or Sauron. Only three face their individual Shadows – Bilbo and Frodo have the same individual Shadow in the form of Gollum, which further reiterates (just like their same birthday), that they are two aspects of the same whole. Gandalf's personal Shadow is the Balrog, in a battle with whom he dies as Gandalf the Grey, and is resurrected as Gandalf the White, having been transformed by the depotentiation of his Shadow. Aragorn, the Hero, does not face his personal Shadow, however. Generally speaking, in critical reviews the character of Aragorn seems most neglected, with priority or emphasis being given to Frodo, but for the purposes of this essay, as well as for Jungian theory, Aragorn is of, perhaps, the greatest significance. He is bequeathed with the task of continuing the individuation process (after the depotentiation of the Shadow archetype) by integrating the Anima archetype, actualized in Arwen Undomíel, in a true hieros gamos. As the queen of Elves and Men, Arwen rules over the unconscious and the conscious, unifying the female and the male principle into a perfect and healthy whole.



This image (taken from O'Neill, 1979:151) summarizes the hieros gamos. In the center of it is the White Tree which has regained life through the efforts of Elessar (Aragorn), whose initiation and transformation are symbolized by the seven stars and seven stones, and the rayed sun, symbolic of man. The opposites are united with the hieros gamos or sacred marriage to Arwen, symbolized by the crescent moon, a feminine image. The instrument of individuation is the central mandala design built of the

Ring and the coincidentia oppositorum as a quaternion, both symbolizing the complete Self.

Through the trilogy, Aragorn develops from Strider to Aragorn, son of Arathorn, to King Elessar. After his death, King Elessar, as the man who completed the process of individuation for Man, but also for himself, shows how

"a great beauty was revealed in him, so that all who after came there looked on him in wonder; for they saw that the grace of his youth, and the valor of his manhood, and the wisdom and majesty of his age were blended together. And long there he lay, an image of the Kings of Men in glory undimmed before the breaking of the world." (III:351)

This description, just like the image previously, beautifully symbolizes and summarizes the wholeness of a successfully actualized Self.

To conclude, *The Lord of the Rings* ***is*** a tale of individuation, but it is the individuation of Man, as presented through the symbolic manifestation of the archetype of the Self through the quaternity of the Son, Father, Hero and Wise Man, and not of any one specific character. For anyone who is familiar with Jung's theory, even when reading the trilogy for the first time, it is obviously clear with what craftsmanship and genius Tolkien managed to bring the archetypes to life, show their positive and negative qualities, and give a remarkable example of the process of individuation. As we said in the beginning, it is possible to find different models of interpretation even within Jungian theory in the trilogy and the rest of Tolkien's works are even a greater treasure cove for more archetypal content.

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THE FOUR STAGES OF THE ANIMA IN J.R.R. TOLKIEN`S

THE LORD OF THE RINGS

Abstract: The paper demonstrates a literary hermeneutic model based on Carl Gustav Jung's theory of the archetypes and the collective unconscious, a model termed *archetypal interpretation*. Such an interpretation is possible with works of literature (and art in general) which Jung called *visionary*. This paper deals specifically with one of the archetypes, the Anima (the female/Eros principle in men), showing the actualisations of its four stages of development in one of the greatest visionary literary works of all time, J. R. R. Tolkien's *The Lord of the Rings*.

The contribution of Carl Gustav Jung (1875-1961) to modern thought is immeasurable; it can be traced in fields such as psychology, theology, physics, anthropology, parapsychology, alchemy and art. Although Jung never constructed a system of literary criticism, his findings have influenced the literary world as well, mainly through the concept of the *collective unconscious*: the primary force, archetypes, and the division of artistic (including literary) works into the psychological and the visionary. Critics have thus been able to identify a hermeneutic model of interpretation that can be applied to what Jung called visionary literary works, naming it archetypal, or Jungian, interpretation.

In this essay, as an example of archetypal interpretation, we are going to explore the four stages of development of one of Jung's archetypes, the Anima (the principle of Eros in men) in one of literature's greatest visionary works, J.R.R Tolkien's *The Lord of the Rings*. First, however, let us have a look at archetypes.

Both Carl Gustav Jung and Sigmund Freud agree that there are certain motifs or recurring elements in dreams that cannot possibly originate in the personal experience of the dreamer. Freud called them '*archaic remains*', and Jung used several different terms. In 1912 he called them '*primordial images*', in 1917 he wrote of '*dominants of the collective unconscious*' or '*knots*', and in 1919 he used the term '*archetype*' for the first time (Samuels, Shorter & Plaut 1992, 187). According to Jung, the mental experiences we have are determined not only by personal experience but also by the collective history of our kind as a whole, biologically inscribed in the collective unconscious, which dates back to the dawn of time. The etymology of the word 'archetype' is as follows: the first element ἀρχή (*archē*) signifies 'origin, beginning, cause, the principle of the primary source', but at the same time it also signifies 'the position of a leader, the highest rule, a form of domination'; the second element τύπος (*typos*) signifies an 'imprint, the impression on a coin, form, image, prototype, model, order or norm'; figuratively speaking, it is a 'schema preceding the form, the primordial form' (Jacobi 2004, 52). Jung indicates that

> The ground principles, the *archetypoi,* of the unconscious are indescribable because of their wealth of reference, although in themselves recognisable. The discriminating intellect naturally keeps on trying to establish their singleness of meaning and thus misses the

> essential point; for what we can above all establish as the one thing consistent with their nature is their *manifold meaning,* their almost limitless wealth of reference, which makes any unilateral formulation impossible. (Jung in Sugg 1992, 189)

He thus points out that the archetype is, in essence, unconscious content that, by becoming conscious (only through the images it helps create) and accepted, changes, but only depending on the individual consciousness in which it appears; that is, 'one does not inherit the representations, but the possibilities for representation' (Jung 2003,78). This leads us to the distinction between the *archetype-as-such* and the *archetypal image* or *idea*. Jung himself emphasises this distinction by insisting that the archetype, in itself, is a tendency to structure the representations of our experience in a certain way, but it is not the representation itself. In the end, the *archetype-as-such* always remains a hypothetical model that is impossible to represent. Since its existence cannot be proven directly, but only through its actualisations, it remains a hypothesis. However, the archetype has an influence over the schemes of representations and the ideas in myths, fairy tales, visions, dreams and fantasies. These schemes, which can consciously be noticed, are the archetypal images (Mario 1992, 61-62). Here is how Jung makes the distinction:

> Archetypal representations (images and ideas) which come to us from the unconscious should not be confused with the archetype-as-such. They are different structures all of which point back to a single, essentially unrepresentable, basic form. That form is characterised by certain formal elements and certain fundamental meanings, although they can only be construed ap-

> proximately. The archetype-as-such is a psychoid factor which seems to belong to the invisible, ultraviolet end of the psychic spectre...It seems to me that the true nature of the archetype cannot be brought to consciousness... it is transcendental... (Jung in Sugg 1992,183)

Jung started using the term *psychoid* when discussing archetypes from 1946 onwards, emphasising even further the difference between the psychoid archetype and the archetypal image. Aniella Jaffe, one of Jung's followers, similarly states that

> The psychoid archetype should not be confused with the archetypal images or archetypal content. These belong to the cognitive world of consciousness and appear as motifs in myths, faery tales, dreams, apparitions in all times and all parts of the world. The psychoid archetype, or the archetype-as-such is an unfathomable factor in the collective unconsious which lies at the core of these motifs and arranges them in typical representations and groups. (Jaffe 1998, 20)

James Hall, another Jungian analyst and theorist, further adds that personal experience is of great importance, because the universal forms of the archetype become personal representations (images and ideas) precisely through the individual consciousness: or, archetype + individual consciousness = archetypal representation (Hol 1996, 12-13).

For example, there is a general human tendency to create an image of the mother, but each individual creates a unique, personal mother-image based on this archetype. There is no definite list of archetypes, but the best known and most developed are the Ego, the Shadow, the Animus/Anima, the Persona, the Hero, the Trickster, The Wise Old Man/Woman and the Self. There is yet another dis-

tinction within the archetypes themselves. The Shadow, the Animus/Anima and the Wise Old Man/Woman archetypes are personified in immediate experience. In the process of such an immediate experience, the archetypes in the dreams and fantasies appear as active persons, and the process itself is represented by what are called archetypes of transformation. Such archetypes are not persons/personified, but represent typical situations, places, means, roads, and so on, which symbolise a certain transformation (Jung 2003, 43). In this group of archetypes, we have the order, the mandala, the forest, the river; some archetypes such as the Self can be both personified or transformative, meaning that they can either represent the road to self-actualisation or personify the complete product of that process (O'Neill 1980, 33-34).

The archetype representing the feminine elements in men is termed the Anima. These elements include vague feelings and shifting moods, prophetic premonitions, susceptibility to the irrational, but also a sense of self-love and a love of nature. The Anima has both negative and positive aspects, and it can be both personal and collective (as with all other archetypes). As a personification of the negative aspect of the Anima, we have the witch, the priestess, the mermaid, the femme fatale, water daemons, the dragon, and so on. As a personification of the positive aspect, we have the faithful, inspiring, supportive maid.

Psychologically, the personal Anima of a man is shaped by his mother and, in the case of a negative influence, his Anima will be manifested by an irritable despondent mood, instability, insecurity and hyper-sensitivity, which cause in the man a fear of disease or accidents or a sense of numbness or impotence (Jung 1995, 209-210). If the influence was positive, the Anima would help the

man understand the unconscious and act as a mediator between his mind and his authentic inner values, taking the role of a leader that guides him to the deepest parts of his consciousness and the Self.

Jung identified four stages in the development of the Anima archetype:

- The first stage is symbolised by Eve, the first woman, and it represents the purely biological and instinctual relations, with the Eros quality most evident.
- The second stage personifies the romantic and the aesthetic, with a strong sexual element remaining as in the first stage, for example Helen in *Faustus*.
- The third stage Anima elevates the feeling of love to the extent of spiritual dedication, as in the example of the Virgin Mary. However, this spirituality is too one-sided because it lacks the dark aspect of the feminine side of Eve, thus remaining an unattainable ideal.
- The fourth stage is rarely reached and is symbolised by Sapientia, the wisdom which surpasses the holiest and the purest, as in the example of the Shulamite woman from Solomon's Song of Songs, or Sofia, divine wisdom. In this stage, the Anima is more grounded and closer to real life, because wisdom does not simply entail immaculate spirituality. (Jung 1995, 218)

One can also converse with the Anima/Animus, as Jung describes:

> In the course of many decades, I always went back to my Anima when I would feel that my emotional state had been disturbed and something had formed in the unconscious. Then I would ask her: What are your in-

> tentions? What do you see? I would like you to tell me... After some resistance, she would produce an image and, as soon as the image would appear, all sense of disquietude and discomfort would disappear...I would talk to my Anima about every image she would send, because I had to try to interpret them as best as I could, just like I would any dream. (Jung 1989, 188)

What is dangerous in our approach towards the Anima (or the Animus) is the fact that bringing these elements to consciousness requires the sacrifice of the old Ego position: that is, each must die in his/her identification with the male/female side of the Self and be born again with the help of the strength of the Anima/Animus. Jung recollects his search for the Anima and the dangers that lurk in each of us, because, when he gave himself to his fantasies, he felt as if

> I sink in the same psychic material psychoses are built from, the basis of madness. This is the fundus of unconscious images which fatally disturb the world of the mentally ill. But, it is also the matrix of the mythopoetic imagination which has almost disappeared from our rational age. Although such imagination is all-present, it is tabooed and frightening, making the road that leads to the depths of the unconscious a risky experiment or an adventure filled with uncertainty. (Jung 1989, 189)

Let us now proceed to the actualisations of the four stages of Anima development in J.R.R Tolkien's trilogy, *The Lord of the Rings*. This trilogy is a perfect example of what Jung called a visionary work of art; that is, a work of art that springs not from the author him/herself but seems to originate in the depths of the collective unconscious, as if the work itself is a separate entity using the author and his/her personal dispositions to be born in the

way it chooses. The contents and the images that appear in the visionary process of creation of these works are structured by the powerful archetypes. Tolkien has created a completely new mythology in a world where humans no longer create mythologies. In all of his works, we can find a seemingly endless number of actualisations of all archetypes (both personified and transformative) and even within the archetypal hermeneutic model, we can have numerous variations in interpretations.

The female characters in Tolkien's mythology are not numerous, yet, extraordinarily, they are sufficient to exemplify the four stages of development of the Anima.

An example of the first-stage Anima is found in the character of Rosie Cotton, a hobbit and the daughter of a Shire farmer, to whom Samwise is married at the end of the story. She is an ideal example of a motherly type, good for a wife and housekeeper, having no higher purpose or aspiration, and full of life and love for simple pleasures such as food, drinks, and singing. The biological/sexual component is much more evident when we acknowledge that the spiritual is missing completely. Moreover, she is subservient, conscious of her dependence on and inferiority to men and her male partner, yet perfectly comfortable with it. Samwise feels `torn in two` (Tolkien 1986, 3:309) between Rosie and Frodo, feeling that it is essential for him to integrate his Anima in order to be able to live a fulfilled life even after the departure of Frodo. He therefore takes Rosie to be his wife and has a prosperous life with her and their children.

An actualisation of a second-stage Anima is found in Arwen, the Elf princess and the queen-to-be of Aragorn, the ruler of the Fourth Age, the Age of Men. Her characteristics are best seen through her relationship with him.

It is, however, quite surprising how little mention Arwen receives in the trilogy until the *hieros gamos* at the end, which physically and spiritually unites the broken bond between the lineage of Elros and Elrond, but which also psychologically completes the wholeness of the Self of Man. Without Arwen, this would have been impossible, and here lies her immense importance.

We do not find out about the love between Aragorn and Arwen in the trilogy itself. Tolkien included it only in the fifth section of Appendix A. According to the story, Aragorn, after his father's death, was taken to live with the Elflord, Elrond, who becomes his second father. Elrond is also the father of Arwen. Aragorn has to keep his identity hidden, because he is the sole heir to Isildur, and he is also the future king who is to unite all of Middle-earth. After he falls in love with Arwen, he is warned by his mother that `she is the most noble and the most beautiful that now walks the earth...and it is not proper for a mortal man to marry one of the Elf kind` (Tolkien 1986, 3:346). The two obstacles to his marriage to Arwen are, first, that she is a princess, and he must become king in order to be worthy of marrying her; and second, that Arwen's immortality, which is characteristic of her kind, is an even greater obstacle to Aragorn, who is a mortal human. She, as the unifying and completing Anima, has to renounce her immortality, as only two other females of her kind have done previously: L*ú*thien and Idril (one in each previous Age, thus enabling the totality of the masculine and feminine principle in the unity of the Self in each Age).

The acceptance of mortality, for Arwen, is a conscious act. Yet the path to their unity is an arduous one. When Elrond sees the love in Aragorn's eyes for his daughter, he says

> Aragorn, Arathorn's son, Lord of the Dunedain, listen to me! A great doom awaits you, either to rise above the height of all your fathers since the days of Elendil, or to fall into darkness with all that is left of your kin. Many years of trial lie before you. You shall neither have wife, nor bind any woman to you in troth, until your time comes and you are found worthy of it...Arwen the Fair, Lady of Imladris and of Lorien, Evenstar of her people, she is of lineage greater than yours, and she has lived in the world already so long that to her you are but as a yearling shoot beside a young birch of many summers. (Tolkien 1986, 3:373)

After this conversation, Aragorn spends thirty years in the wilderness fighting against the evil of Sauron, and in the course of this period, he becomes friends with Gandalf. He fights in many armies under different names and 'became at last the most hardy of living Men, skilled in their crafts and lore, and was yet more than they; for he was elven-wise and there was a light in his eyes that when they were kindled few could endure' (Tolkien 1986, 3:374).

His daughter's decision to stay in Middle-earth as a mortal is not greeted with much enthusiasm by Elrond, and it is with a heavy heart that he speaks to Aragorn:

> Maybe, it has been appointed so, that by my loss the kingship of Men may be restored. Therefore, though I love you, I say to you: Arwen Undomiel shall not diminish her life's grace for less cause. She shall not be the bride of any Man less than the King of both Gondor and Arnor...I fear that to Arwen the Doom of Men may seem hard at the ending. (Tolkien 1986, 3:375)

Arwen is the actualisation of a positive Anima, which serves as an inspiration so the man can live up to his fullest potential. Addressing him by his Elf name, she says to

Aragorn, 'dark is the Shadow, and yet my heart rejoices; for you, Estel, shall be among the great whose valour will destroy it' (Tolkien 1986, 3:375). She does inspire him to face the powers of the Shadow and thus claim his full right to the throne of Middle-earth, but only as an actualised whole – an Ego with an integrated Anima. Had Arwen remained immortal, she would not have been embodied as the Anima of King Aragorn, thereby making their unity impossible and putting at great peril the entire future of Man. Had she not been integrated in a way to become part of the earthly, mortal Man, individuation would have been unachievable.

As queen of both Elves and Men, Arwen is a ruler of both the unconsious and the conscious realm, uniting the masculine and the feminine principle in a perfect and healthy whole. After his death, Aragorn, the man who completes the process of individuation both for Man and for himself as man, reveals an image of an individuated Self, for 'then, a great beauty was revealed in him, so that all who after came there looked on him in wonder; for they saw that the grace of his youth, and the valour of his manhood, and the wisdom and majesty of his age were blended together' (Tolkien 1986, 3:378). However, this leaves the Anima with 'the light of her eyes...quenched, and it seemed to her people that she had become cold and grey as nightfall in winter that comes without a star...' (Tolkien 1986, 3:378). She also dies soon afterwards for, as an Anima, she has completed her duty and cannot exist without the other half of the whole.

An example of a third-stage Anima is found in Varda, or Elbereth, with her pure spirituality. She does not appear in the trilogy (her name is invoked in prayer, however), but is part of Tolkien's mythology, as wife of Manwë,

the High King. They are two of several gods of creation, or Valar, to whom the One (what we would call the ultimate God) has given the role of protectors. Varda is the protector of Men and Elves; she never takes on a physical form, a body, and remains an unattainable ideal we find in the prayers and songs of the Elves and in invocations by some of the Hobbits. All use her name as a talisman against evil forces, and Sam utters a prayer in a language unknown to him, asking Elbereth to watch over him and help him against the dark Anima, Shelob. This is one of the prayers dedicated to Elbereth:

A Elbereth Gilthoniel
O Elbereth Starkindler,
silivren penna míriel
white-glittering, slanting down sparkling like a jewel,
o menel aglar elenath!
the glory of the starry host!
Na-chaered palan-díriel
Having gazed far away
o galadhremmin ennorath,
from the tree-woven lands of Middle-earth,
Fanuilos, le linnathon
to thee, Everwhite, I will sing,
nef aear, sí nef aearon!
on this side of the Sea, here on this side of the Ocean!

(Tolkien 1986, 2: 383)

The fourth and the highest stage of Anima development is actualised in Galadriel, the only woman in Tolkien's mythology to whom one of the Rings is given. She has the Ring of Water, which symbolises the feminine, and gives Frodo the light of Eärendil to help him in his

encounter with the dark Anima, Shelob. She has aspects of both spirituality and wisdom, as well as the power to enter the minds of others. When the members of the Fellowship come to her, 'she held them with her eyes, and in silence looked searchingly at all of them in turn. None save Legolas and Aragorn could long endure her glance. Sam quickly blushed and hung his head' (Tolkien 1986, 1:401). Later, Sam confesses:

> If you want to know, I felt as if I hadn't got nothing on, and I didn't like it. She seemed to be looking inside me and asking me what I would do if she gave me the chance of flying back home to the Shire to a nice little hole with a bit of garden of my own. (Tolkien 1986, 2: 401)

The others feel the same, that is, 'each had felt that he was offered a choice between a shadow full of fear that lay ahead, and something that he greatly desired: clear before his mind it lay, and to get it he had only to turn aside from the road and leave the Quest and the war against Sauron to others' (Tolkien 1986, 2:401). The Anima is the mediator between the Shadow and the Ego and this role is enacted by Galadriel when she offers the choice to the members of the Fellowship, either a confrontation or stagnation of the Ego development. She has a mirror made of water (the Mirror of Galadriel) in which the past, the present, as well as parts of the future can be seen. By looking into the mirror, she allows others to see through her eyes, the eyes of the Anima, who possesses an extraordinary amount of knowledge and wisdom:

> Many things I can command the Mirror to reveal...and to some I can show what they desire to see. But the Mirror will also show things unbidden, and those are often stranger and more profitable than things which we wish to behold. What you will see, if you leave the Mirror free

> to work, I cannot tell. For it shows things that were, and things that are, and things that yet may be. But which it is that he sees, even the wisest cannot always tell. (Tolkien 1986, 2:406)

We can see the wisdom of the Anima in the answer she gives to Frodo, when he asks if he should look:

> I do not counsel you one way or the other. I am not a counsellor. You may learn something, and whether what you see be fair or evil, that may be profitable, and yet it may not. Seeing is both good and perilous. Yet, I think, Frodo, that you have courage and wisdom enough for the venture, or I would not have brought you here. Do as you will! (Tolkien 1986, 2:407-408)

This is the text of a wise Anima who, at this stage, provides information without prejudice or censorship, leaving the choice of what to do with that information up to the Ego. In her wisdom, she tests, yet she is aware of the capabilities of each creature she meets. The greatest evidence showing that she is, indeed, a stage-four Anima containing the dark earthly elements is found after Frodo offers to give her the One Ring. She is greatly tempted, and it takes her a great amount of strength to resist, although she is perfectly aware of everyting that goes on inside her mind as she struggles:

> I do not deny that my heart has greatly desired to ask what you offer. For many long years I had pondered what I might do, should the Great Ring come into my hands, and behold! It was brought within my grasp...at last it comes. You will give me the Ring freely! In place of the Dark Lord you will set up a Queen. And I shall not be dark, but beautiful and terrible as the Morning and the Night! Fair as the Sea and the Sun and the Snow upon the Mountain! Dreadful as the Storm and the

> Lighting! Stronger than the foundations of the earth. All shall love me and despair! (Tolkien 1986, 1: 410)

The positive Anima is conscious of how she might transform into a negative and terrifying one if she were given the power to rule the human mind, if the Ego were to fall under her complete control. However, her wisdom and strength help her resist this temptation, and for this resistance she is rewarded with a place on the ship that takes the Elves, together with Frodo, Bilbo and Gandalf, to the Undying Lands.

The given analysis clearly shows the applicability of the archetypal interpretative model to visionary works such as Tolkien's *The Lord of the Rings*. Perhaps the fascination with this literary work can be attributed to the archetypes that resonate within each reader's unconscious, making the trilogy, just like the archetypes, timeless and universal.

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THE COLLECTIVE SHADOW ARCHETYPE IN *THE LORD OF THE RINGS*

INTRODUCTION

Carl Gustav Jung (1875-1961), the Swiss psychiatrist and psychologist, who lay the foundations of Analytical or Depth psychology, has indebted the modern world in various fields, including theology, physics, anthropology, parapsychology, alchemy and art. His contribution to art, including literary works, should also not be underestimated, although it is his followers who came up with what we now know as archetypal or Jungian interpretation. In this essay, as an example of archetypal interpretation, we are going to explore the collective aspect of the Shadow archetype in what is probably the greatest visionary work of the 20th century, J.R.R Tolkien's *The Lord of the Rings*.

Both Carl Gustav Jung and Sigmund Freud agree that there are certain motifs or recurring elements in dreams that cannot possibly originate in the personal experience of the dreamer. Freud called them "*archaic remains*", and Jung used several different terms. In 1912 he called them "*primordial images*", in 1917 he wrote of "*dominants of the collective unconscious*" or "*knots*", and in 1919 he used the term "*archetype*" for the first time (in Sugg 1992:187). According to Jung, the mental experiences we have are determined not only by personal experience but also by

the collective history of our kind as a whole, biologically inscribed in the collective unconscious, which dates back to the dawn of time.

THE SHADOW ARCHETYPE

Jung says that the Shadow is "*the most accessible and the easiest to experience*"(Jung 1959:8), because, as an identity structure, it is an Ego which might have been, i.e. when repressing aspirations, instincts, desires, needs, character traits, the energy of these phenomena is not lost, but continues to exist in the unconscious

> "The psychic energy which appears to be lost, in fact, serves to bring to life and strengthen that which prevails in the unconscious – certain affinities that had no opportunity to be expressed, or that were forbidden from appearing/existing in our consciousness. Such tendencies form, for our consciousness, the ever-present and potentially destructive Shadow." (Jung 1996:101).

Jung differentiates between an individual and a collective Shadow. The individual Shadow will contain the personal repressed qualities and characteristics, whereas the collective one will contain those elements marginalized or forbidden by the immediate surroundings – family, friends, by society or the historical period. Jung believed that world-scale disasters might be avoided if only humanity learned how to embrace and integrate the Shadow, which is an unpleasant and difficult process, yet crucial, or in his famous saying: "*one does not become enlightened by imagining figures of light, but by making the darkness conscious*" (in Stevens 2004:252). The negative aspect of the Shadow inevitably actualizes the complex problem of evil. Jung says that it is comparatively easier to see one's

own/personal Shadow, with the help of self-criticism, but when it comes to recognizing the archetype of the collective Shadow, that is *"a rare and shocking experience…to look into the face of absolute evil"* (Jung 1959:10). To Jung, from a psychological point of view, evil is a projection of the personal or the collective Shadow.

One of the main themes in *The Lord of the Rings* (if not the main one) is the coming to terms and facing the Shadow. The word itself (shadow) is repeated throughout the trilogy, as are the words *emptiness, void, darkness.* All of the characters in the trilogy face a certain aspect of either the personal or the collective Shadow. Frodo, for example, faces mainly his personal Shadow, actualized in the character of Smeagol/Gollum, but also the collective Shadow, actualized in the character of Sauron. Aragorn, together with the majority of the other characters, faces the collective Shadow, Sauron, and its/his minions, Saruman and the Orcs. Gandalf is another character who faces his personal Shadow, actualized in two characters – one is the monster Balrog from Moria and the other is Saruman, his fellow Maia.

At first instance, although it seems that the actualizations of the Shadow archetype in the trilogy are invariably evil, Tolkien was not a believer in the Manichean simple dualism of good and evil or, in the famous words of Elrond *"nothing is evil in the beginning…even Sauron was not so"* (Tolkien 1986/2:300).

Let us examine the character of Sauron as an actualization of the collective aspect of the Shadow archetype and its dark side. He is not only the actualization, but is referred to as the Shadow in the text itself. In the beginning, in Tolkien's mythology, Sauron was one of the wise ones, the Maiar (Mairon the Admirable), an order of

spiritual beings somewhat lower than the Valar, who had great intellectual powers, was pleasant on the eye and as company, accepted by others and well-liked, until he fell under the influence of the evil first Dark Lord, Morgoth, and that precipitates his fall and his unquenchable thirst for power. However, he is not the face (or eye) of impersonal evil, for he is troubled by doubts and fears, memories of past defeats and the hatred toward Gondor, and these make him a living actualization. The body he had in the beginning became, with time, black and hot and so disgusting that he had to hide which, in turn, drove him further away from the light and deeper into the darkness, thus proving that just as evil is not inherent, neither is the negativity of the Shadow. When we meet him in the trilogy, he no longer has a body, but is represented by the Eye "*rimmed with fire, but was itself glazed, yellow as a cat's, watchful and intent, and the black slit of its pupil opened on a pit, a window into nothing*" (1:409), living in the land of shadows.

The significance of Sauron can be found in the fact that he is the one who tricked the Elven smiths to create the rings of power, using their weakness – their thirst for knowledge. Thus, the elven smiths made three rings for the Elves, seven for the Dwarves and nine for Mortal Men. The main characteristic of the rings is that they reflect the distinguishing traits of the race for which they are intended. Elven rings accentuated understanding, creation and healing. Those for the Dwarves fed their greed for gold and precious objects, as well as anger and hatred towards anyone who might deprive them of their treasure. The rings given to Mortal Men intensified their unquenchable thirst for power. And the One Ring, which is the strongest, controlling all the rest, is created by Sauron himself,

after he steals the secrets from the Elven smiths. While creating the One Ring, he inevitably invests in it some of his own powers and thus starts losing the ability to exist in a physical body. In the final battle at the end of the Second Age, Isildur cuts off Sauron's finger together with the Ring, which later is lost in the Great River Anduin.

In the course of centuries, the collective Shadow actualized in the character of Sauron (its dark aspects) appears when there is a crisis in consciousness leading to one-sidedness, i.e. the denial of the unconscious. He is the Dark Lord and darkness is associated with the unconscious. He has an obsessive need to dominate everyone and everything. What he manages to do – and which is, throughout history, ascribed to Satanic possession, devils and demons – is to strip creatures of their free will, the right/ability to make choices or, archaically put, he takes away their souls. This negative aspect of the Shadow, the possession and loss of the fundamental right of every intelligent being to make informed, conscious decisions and choices, seems to be the most destructive. Tolkien himself insists that: *"every intelligent being is born with free will and the right to freedom of choice, and the exercise of this right creates the recognizable sign of his individuality"* (Tolkien in Kosher 2002:61). The Shadow, using the Ring, brings to light the most forbidden and darkest desires of the Ring-bearer and transforms (or de-forms) desire into obsession, in the process of which the Ego identifies with the Shadow resulting in the loss of Ego boundaries, i.e. the structures of personality.

Galadriel says to Frodo:

> "...the rings give power according to the measure of each possessor [?] Before you could use that power you would

> need to become far stronger, and to train your will to the domination of others." (1:411)

So, how do the characters in the trilogy pay the price of being possessed by the collective Shadow? Let us have a look at the Nazgûl, Gollum, Saruman and Frodo.

The Nazgûl are a perfect example of losing the Ego identity (i.e. the soul) and completely succumbing to the dark aspect of the Shadow. They are the nine Mortal Men (kings) to whom the Rings were given and who were lost to evil by identification with the Shadow. They are undead who have never died (and can never die) a natural death, but are enslaved, for centuries, by Sauron and bid his will (and not their own). As time passed their existence in this world waned and they are somewhere between this and the world of shadows. Aragorn gives the following description:

> "They themselves do not see the world of light as we do, but our shapes cast shadows in their minds, which only the noon sun destroys; and in the dark they perceive many signs and forms that are hidden from us: then they are most to be feared. And at all times they smell the blood of living things, desiring and hating it. Senses, too, there are other than sight or smell. We can feel their presence – it troubled our hearts, as soon as we came here, and before we saw them; they feel ours more keenly. Also….the ring draws them." (1:214)

The shrill cry of the Nazgûl is terrifying, full of sheer despair (the leader, Angmar, is called the Captain of Despair). The curse lays in the realization that the Nazgûl cannot invoke terror and mind-wrenching fear in others unless they feel it in themselves first – an example of Shadow projection, by which in the terror and despair of others they feel their own.

The creature which is probably most despised by readers, but which also, at moments, inspires sympathy, is Gollum. We can see him as a victim of identification with the Shadow, but also as the actualization of Frodo's personal Shadow. Gollum was once a regular Stoor – a Hobbit-like creature – whose name was Smeagol and who, coming in contact with the Ring, i.e. the dark powers of his unconscious, experiences what in modern psychology would be termed dissociated personality[8]. One of the dissociated Egos of Smeagol which identifies with the Shadow is Gollum and the other Ego, the remainder of the original, good Ego, is Smeagol. It is interesting that when he says *I*, it refers to the good Smeagol and when he says *we*, he refers to the dissociated Gollum. It is this conflict and the remaining goodness in him that inspires sympathies and compassion in the reader, although Gollum's identification with the Shadow results in madness. Gandalf says to Frodo:

> "Even Gollum was not wholly ruined. He had proved tougher than even one of the Wise would have guessed -as a hobbit might. There was a little corner of his mind that was still his own, and light came through it, as through a chink in the dark: light out of the past." (1:60)

At first, Frodo resists the temptation of putting on the Ring since he is aware that the confrontation with his own Shadow could prove to be too big of a challenge, but he is forced to do so when they are attacked by the Nazgûl. By doing so, he enters the Shadow realm and is no longer the same, because, everywhere he looks, he feels there is a shadow before his eyes. The potency and danger of the Shadow world are indeed tremendous, as we, the readers,

8. Formerly known as Multiple Personality Disorder, this condition is now called Dissociative Identity Disorder.

watch how Frodo's Ego structure diminishes, even more so with the help of Frodo's personal Shadow, Gollum. Frodo has the most difficult of all the missions – he has to simultaneously resist the personal and the collective Shadow. We can see that Gollum is Frodo's personal Shadow because he himself was once a hobbit-like creature and very similar to Frodo, therefore also serving as an example of what happens if he "sells his soul" to the Ring.

We find another actualization of the collective Shadow in Saruman. Just like Sauron he, too, was good in the beginning, known for his erudition and greatness, but also for his ability to influence the minds of others. Together with Gandalf, Saruman was one of the Istari, or the Wizards who, as incarnations of the Maiar, came to Middle Earth to help battle evil. However, studying Sauron's skills, (just as Sauron studied the skills of the Great Enemy Morgoth), he inevitably became consumed by the desire for absolute power and became as dark as his master. By wanting all the power to himself he becomes Sauron's rival. Both Sauron and Saruman become evil by choice and neither of them was evil in the beginning, as we mentioned previously. The remainder of the characters in the trilogy face the collective Shadow actualized in the form of the Orcs and the Uruk-Hai, through direct confrontation in battle.

There is, evidently, much to be said about both the personal and the collective aspects of the Shadow archetype in the trilogy, yet perhaps the most important quality of this archetype as presented by Tolkien, is its remarkable complexity and real-life likeness that we often fail to attribute to evil. Tolkien does not present stereotypical, stock characters of evil, but breathes life into them with voracious complexity, thus adding to the richness of his mythological creation.

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FROM SAURON TO DARTH VADER – THE DISEMBODIMENT OF EVIL

Ana Kechan and Dušan Banović

Being or turning evil is usually regarded as losing one's soul or selling it to the Devil, a motif[9] which can be found in numerous Christian folktales. In most examples, the Devil leaves a mark on the body of the person whose soul he has bought, known as the Devil's Mark. Therefore, the loss of soul to evil seems to entail some kind of scarring, disfiguration or disability, primarily on the face, but other parts of the body as well, and this is the prevalent marking of malevolent characters in both literature and television. The most striking examples are in fairy tales where the dichotomy of good versus evil is presented as beautiful versus ugly: we have beautiful princes and princesses and ugly/disfigured witches, stepmothers and wicked fairies. Then, we have the silent movies of the 1920s in which the sinister characters had to be marked to make the distinction between them and the good characters, and this marking was usually in the form of scarring.

Contemporary villains seem to follow the same pattern: in the books Voldermort[10] slowly grows disfigured from experimenting with Dark Magic and in the end, he has slits for nostrils and a flat nose (in the movie version,

9. The "Bargain with the Devil" constitutes motif number M210 and "Man sells soul to Devil" motif number M211 in Stith Thompson's Motif-Index of Folk-Literature.
10. The main antagonist in the *Harry Potter* series by J.K. Rowling

he has no nose at all which accentuates his malevolence even further). The scar he leaves on Harry Potter's forehead is a mark of having been touched by evil. The latest villain in the Star Wars series, Kylo Ren[11], is scarred across his face when he performs his first utterly evil deed. Doctor Poison[12] has a deformity on the lower part of her face and has to wear a prosthetic, which, again, seems to emphasize her villainy.

Does this mean that being evil or turning evil precludes the possibility for a non-disfigured face or body? Would the degree of evil be then reflected in the degree to which a body is either scarred or lost? This essay will present two of the world's most infamous fictional villains and Dark Lords – Sauron from J.R.R. Tolkien's mythology and Darth Vader from the *Star Wars* mythology. Although these two characters are perceived as em*bodi*ments of evil, neither of them has a full body and this essay will try to explore some possible reasons why.

Sauron and Darth Vader have similar origins: they are both created unconventionally – Sauron as an offspring of Eru's (the One) thought and Vader by midi-chlorians[13] and a virgin birth; they both start off as beings of immense potential: one to live out eternity as a wise benevolent angel-like being and the other to be "the Chosen One" who will "bring balance to the Force" by destroying the Sith[14]; they both become apprentices to great masters, Dark Lords themselves (Morgoth and Darth Sidious, respectively); they are seduced by promises of great power, slowly being consumed by their desire to dominate. Along

11. Introduced in the 2015 film *Star Wars*: The Force Awakens
12. The villain in the *Wonder Woman* comics and film
13. Midi-chlorians are intelligent life forms that live in the cells of all living things. According to Qui-Gon, "without the midi-chlorians, life could not exist, and we would have no knowledge of the Force. They continually speak to us, telling us the will of the Force" (in *The Phantom Menace*).
14. an ancient order of Force-wielders devoted to the dark side of the Force.

the path of losing their souls to the Dark Side, they both lose their bodies as well (almost entirely). Even though they have much in common, they come to quite different ends.

Sauron, the "hovering and unimaginable symbol of irredeemable evil" (Helms, 1974:33), never appears in Tolkien's epic as a character, but we learn of him through the stories told by the other characters and Tolkien's appendices. The beginnings of Sauron go back to the time before the world was even created. Back then, he was known as Mairon, and was the most gifted of the Maiar[15], a race to which Gandalf and Saruman also belong. He served under the Vala called Aulë, who was the blacksmith and protector of crafts. Although created as a spirit, Sauron could take any bodily form he desired and, "originally [he] was *a fair creature to look upon* and had been given supremacy in Middle-earth" (68), my italics). Furthermore, "he had great gifts of mind, a full range of perceptions, a *handsome body*, and a sense of fellowship that made him welcome to everyone" (Kocher, 2002:77, my italics). With this fair form "...Sauron took to himself the name of Annatar, the Lord of Gifts, and they had at first much profit from his friendship" (Tolkien, 2004:137-138).

As all the Maiar, he was originally good, powerful and wise, but as he started falling under the influence of the first Dark Lord in the epic, Melkor or Morgoth, by the Second Age "his was the *seductive charm of body* and mind that tempted the Númenórean king Ar-Pharazôn to defy the Ban of the Valar by arms, provoking the One to an anger that drowned all Númenor under the sea" (57, my italics).

15. "With the Valar came other spirits whose being also began before the World, of the same order as the Valar but of less degree. These are the Maiar, the people of the Valar, and their servants and helpers." (*The Silmarillion*, p. 9)

In this, Second Age, as his powers grew, he started desiring dominion over all creatures – the Elves, Dwarves and Men and he deceived the elven smiths to create the Rings of Power, "for at that time he was *not yet evil to behold*, and they received his aid and grew mighty in craft, whereas he learned all their secrets, and betrayed them and forged secretly in the Mountain of Fire, the One Ring to be their master" (Tolkien, 2001:272, my italics). Even though he was immortal, Sauron's existence was tied in to the fate of the Ring, for in the words of Gandalf "he made that Ring himself, it is his, and he let a great part of his own former power pass into it, so that he could rule all the others" (56). However, only "as long as his vigor is undivided Sauron's spirit can survive death after death, living to fight another day by incarnating itself each time in a new body" (Kocher, 2002:59). Just as Morgoth decreased in power by using his abilities to corrupt and multiply his armies of wicked creatures, the same thing happened to Sauron. His will was his power and that is what he used to rule over all of his minions.

Before the forging of the One Ring, Sauron incarnated himself twice in two different bodies and both were destroyed: his first body was destroyed during the cataclysm of the sinking of Númenor, and he was never able to take a physical form that would be seen as beautiful after that ever again. He ruled in this way in the Second and the Third Age. Then, he was defeated during the War of the Last Alliance, and the Ring was taken from him; yet, as Elrond says "Sauron was diminished, but not destroyed" (Tolkien, 2001:273). Following the second loss of his body, he was growing weaker. According to Tolkien,

> "After the battle with Gil-galad and Elendil, Sauron took a long while to re-build, longer than he had done

> after the Downfall of Númenor (I suppose because each building-up used up some of the inherent energy of the spirit, which might be called the 'will')." (Humphrey, 2014:279).

So, as he continued to spend his willpower on spreading his influence more and more, he was burning away his own being and thus losing his own essence in the process – he risked this to be a permanent loss if the Ring was ever destroyed.

Over time, what is left of "his body became black and burning hot, so ugly that he had to hide himself away in Mirkwood and Mordor" (Kocher, 2002:77-78) and, by the end of the Third Age, which we witness in *The Lord of the Rings,* Sauron is but a (symbolic) single organ of once a whole body – a lidless eye, which Frodo sees when he looks into the Mirror of Lady Galadriel:

> "But suddenly the Mirror went altogether dark, as dark as if a hole had opened in the world of sight and Fordo looked into emptiness. In the black abyss there appeared a single Eye that slowly grew, until it filled nearly all the Mirror. So terrible was it that Frodo stood rooted, unable to cry out or to withdraw his gaze. The Eye was rimmed with fire, but was itself glazed, yellow as a cat's, watchful and intent, and the black slit of its pupil opened on a pit, a window into nothing" (Tolkien, 2001: 408-409)

From the descriptions provided, it is clear that, to a great extent, the perception of someone as evil or good has to do with precisely that, the perception of what is visible and the visible part of any being is its body. But, the disintegration of Sauron's (and Vader's, as we shall see later) body goes hand in hand with the corruption of his soul. Therefore, the reduction of once a full-bodied (and

shape-shifting, nonetheless) immortal creature to merely a Shadow (frequently used to describe Sauron) who lives in Mordor (the land where the Shadows lie) logically leads one to the assumption that the loss of soul to evil is parallel to the loss of body.

Our second Dark Lord, Darth Vader, was born as Anakin Skywalker and was considered to be the Chosen One, the one who would save the entire galaxy from evil, and the one who would bring balance to the Force[16]. As a child, Qui-Gon says of him that "he gives without any thought of reward" and his mother Shmi says that "he knows nothing of greed" (*The Phantom Menace*). An intelligent and wayward child, he is taken in by the Jedi to be trained in their ways. They were also to help him develop his remarkable abilities, for the number of midi-chlorians in his body was extraordinarily high, suggesting that the Force was very strong with him. He grew from a skillful Padawan (a Jedi apprentice) under the instruction of his Jedi master, Obi-Wan Kenobi, to an established Jedi knight. It is interesting that even in his youth, he retained the waywardness he had as a child. Two other characteristics apparent in young Anakin were his naivete and his obsessive love with his beautiful wife Padme Amidala. Both of these characteristics made him vulnerable to the influence of the Dark Lord of the Sith, Palpatine, who seduced him with promises of power (even over death), and protection of his family, as can be seen from this dialogue (*Revenge of the Sith*):

16. The Force is somewhat vaguely defined in the *Star Wars* epic. Obi-Wan tells Luke (in A New Hope) that the Force is "an energy field created by all living things", and Yoda says (in *The Empire Strikes Back*) that "my ally is the Force. And a powerful ally it is. Life creates it, makes it grow. Its energy surrounds us and binds us. Luminous beings are we, not this crude matter."

PALPATINE: You are fulfilling your destiny, Anakin. Become my apprentice. Learn to use the dark side of the Force.

ANAKIN: I will do whatever you ask.

PALPATINE: Good.

ANAKIN: Just help me save Padme's life. I can't live without her. I won't let her die. I want the power to stop death.

PALPATINE: To cheat death is a power only one has achieved, but if we work together, I know we can discover the secret.

We can see how Anakin is naively led to believe that Palpatine can grant him power over death. He is also growing increasingly frustrated and angry at the Jedi Council over their mistrust of him, and Palpatine is just fueling that anger until Anakin pledges his loyalty to the Dark Side in a formal act to Palpatine and becomes Darth Vader. However, if we follow the idea that loss of body parallels the loss of soul, he is not lost to evil at the moment he becomes Darth Vader, but rather in the final scenes of *The Return of the Sith,* in which the director made it obvious that his transition is complete – we no longer recognize Anakin and not even Padme can help bring him back. According to Bertrand,

> "the metamorphosis of Anakin Skywalker into Darth Vader takes place at two levels. First and foremost, he undergoes a spiritual remodeling for he is now the apprentice of a Sith Master. His deeds are in accord with what characterizes the dark side: he strangles his victims by only the power of his mind (two occurrences in Episode V). Secondly, he is physically changed into a humanoid." (33)

When he fights Obi-Wan on Mustafar, he appears to be consumed with hate and that is when he loses his body – first it is cut by Obi-Wan and then the engulfing lava flames almost finish him off – most of his body is melted while he screams in agony and all that is left are parts of his head and torso. Although his limbs are replaced by cybernetic ones and a respiratory machine is implanted in his chest, Vader's human form is almost entirely gone. If Sauron remains as just an eye, Vader becomes just a creepy wheeze of a cyborg, "more machine […] now that man…twisted and evil" (Kasdan and Lucas, 1994:41).

Both authors in question chose to disintegrate their villain's bodies when/as they became (more) evil, taking the tradition of the folktales one step further. As both come from strong Christian backgrounds – Tolkien was a devout Catholic and Lucas was raised in a devout Methodist family – it would be safe, up to a point, to make the assumption that Christian views on evil and the body/soul dichotomy played a major role in their depictions of evil, even though, as Gaita says "good and evil are in their essence mystical and no metaphysical or religious explanation can penetrate their mystery" (2000:39). We can, however, try.

The problem of evil has perplexed Christian thinkers for ages or, as St. Augustine, a fifth century theologian, puts it, "Where is evil then, and whence, and how crept it in hither? What is its root, and what its seed?" (1836: VII [V.]:7). Even before Christianity, the Greek philosophers were pondering similar questions[17] – Plotinus, most notably, who dedicated treatise 1.8 of his *Enneads* to the ques-

17. It is important to note that in ancient Greek there is no term for 'evil'. All that we read now about theories of evil that are ascribed to the Greeks are just our projections of the term which was coined much much later (in Svensen, p. 41)

tion "what are and whence come evils?". He established the *theory*[18] *of privation*, according to which "evil has no being of its own and should be regarded as a lack of being" (in Svensen, 2006:41). It would stand to reason that the body would be the first element to go once one turned evil, for if evil has no being, it should discard of its being in the world and our being in the world is marked by our physical form.

St. Augustine further develops this theodicy of privation and asks the following questions:

> "…hath it no being? Whence is it then? Seeing God, the Good, hath created all these things good. He indeed, the greater and chiefest Good, hath created these lesser goods; still both Creator and created, all are good. Whence is evil? Or, was there some evil matter of which He made, and formed, and ordered it, yet left something in it, which He did not convert into good? Why so then?" (1836: VII [V.]:7).

So, according to St. Augustine as well, evil is not only the absence of good, but it has no being, just like Plotinus said. In relation to the physical aspect he says "…imagining that Thou, O Lord God, the Truth, wert a vast and bright body, and I a fragment of that body?" (IV [XVI.]:31) which would suggest that if the body is part of the divine body of God, once someone refutes his or her divine nature and turns away from God, to evil, they would stand to lose that body.

Another interesting aspect of St. Augustine's meditations is that, according to him, nothing is evil by nature, and this resonates with both Sauron and Darth Vader. This same stance is further developed by another Chris-

18. The term theory was later replaced by the term *theodicy* by Gottfried Leibniz in 1709, coined from the Greek words teos (God) and *dike* (righteous), signifying an attempt to justify or defend God in the face of evil.

tian philosopher and theologian, St. Thomas Aquinas, who says that "no being is evil in itself…evil has no being…evil consists entirely of non-being" (in Svensen, 2006:45).

There are several other theodicies, two of which are important for our research. The first one is the theodicy of free will, first noted by Plato, who insists that the guilt for evil is not with the gods, but with the person who chooses it, i.e. we all have our free will to choose good or evil and choosing evil, makes one evil, which would be true in the cases of both Sauron and Darth Vader, because they chose evil of their own free will (arguably, influenced and seduced by their lords, but the responsibility for their choices rests solely upon them). St. Augustine has added his contribution to this theodicy as well, saying that evil is the will turning away from God, not because what it turns to is lesser than God, but the act of turning itself is evil (in Svensen, 2006:47). Another theodicy is the theodicy of wholeness, most notably developed by Leibniz, who also insists that evil is a lack, an absence of perfection.

Similarly, a more recent philosopher, Emmanuel Levinas, further reinforces the lack of space in the world for evil, or the lack of its ability to be integrated, therefore, to find its *physical* place to occupy with its *physical* form:

> "the quality of evil is this *non-integratableness* itself… evil is not only non-integratable, it is also the non-integratableness of the non-integratable…it is the not-finding-a-place…it is in the *excess* of *evil* that the prefix ex- signifies in its original sense, as exceeding (*excession*) itself, as the *ex- of* of all exteriority…no categorial *form* could invest it, none could hold it within its framework." (1998:128-129)

Since we occupy space with our physical forms, i.e. our bodies, we could make the assumption that evil, hav-

ing no being or form to contain it, would preclude the body, as would its quality of excess, for it cannot be contained in a bodily form.

Almost all of these ideas are reflected in the two authors we are dealing with here. Tolkien was famously anti-Manichaean and refused to believe that the world is divided between good and evil. For him "every intelligent being is born with a will capable of free choice" (Kocher, 2002:61). Through the character of Elrond in *The Fellowship of the Ring* he echoes that belief by saying that "nothing is evil in the beginning. Even Sauron was not so" (Tolkien, 2001:300). None of the malevolent characters in *The Lord of the Rings* were evil in the beginning, they were all corrupted by one Dark Lord or another, directly or through the Rings. Morgoth bred the Orcs in the First Age in mockery of Elves by genetic experiments with existing creatures, therefore turning the beautiful elvish form into the disfigured bodies they are known for. Another interesting example is Smeagol, whose transformation is also very apparent – from a hobbit-like creature pleasant to look at, under the influence of the evil in the One Ring, he turns to Gollum and his body becomes hideous.

Apart from Sauron, perhaps the best examples of loss of bodily form due to succumbing to evil are the Ringwraiths or the Nazgûl – originally the nine mortal men to whom Sauron gave nine Rings of Power, they slowly turn into nothing but shadows. By using the Rings to gain wealth and power, the evil in the rings seems to drain not the life from them, but their bodies, making them lose their bodily form almost entirely, in the end shaped only by their black cloaks, for "they still inhabit their original bodies, but these have faded and thinned in their component matter until they can no longer be said to exist in the

dimension of the living…their flesh is not alive, not dead, but 'undead'" (Kocher, 2002:62). Just like Lucas, who created the Force, which is neither good nor evil, but how the characters use it makes it so, i.e. their own will gives them the freedom to be either good or evil, Tolkien gave his beings the free will to choose between good and evil.

The bodily form of the creatures in Tolkien's mythology follows the pattern of becoming corrupted or dematerialized when they become evil, and the malevolent characters (the Orcs, the Uruk-Hai, Sauron) are formidable and deformed, whereas the benevolent characters (especially the Elves) are beautiful. We can conclude then, that, in the context of the larger mythological world of Tolkien, evil either deforms or dissolves the bodily form of creatures.

In the Star Wars saga this also holds true, as can be seen not just from the example of Darth Vader, but also from several other ones as well. Darth Sidious, or emperor Palpatine, was a human who, by using the Dark Side of the Force, had to pay the same price as his own master, Darth Plagueis – he asks him whether using the Force will transform him, to which he says "into some aged, pale-skinned, raspy-voiced, yellow-eyed monster, you mean. Such as the one you see before you." (Luceno, 2012:160). And when Palpatine kills Windu, a Jedi master, his physical appearance, primarily his face, is immediately changed as he shows his true evil nature:

"Palpatine lifted one tentative hand to the misshapen horror that he now saw in the mirror, then simply shrugged:

'And so the mask becomes the man,' he sighed with a hint of philosophical melancholy. 'I shall miss the face of Palpatine, I think; but for our purpose, the face of Sidious will serve. Yes, it will serve.' (Stover& Lucas, 2005:361)

From then on, Palpatine is very careful to hide his hideous appearance under a cloak. Another example is Darth Maul who, similarly to Darth Vader, reconstructed himself as a cyborg and as such became even more evil and consumed with anger and the need for revenge against Obi-Wan Kenobi. Supreme Leader Snoke's face has been repeatedly described as *scarred and cavernous*. Finally, the previously mentioned Kylo Ren earned a facial scar when he started turning to the Dark Side and one can only expect to see other physical deformities befall him as he, presumably, turns even more evil in the next episodes of the saga.

What is peculiar in the case of Darth Vader is the fact that by not destroying his entire body, Lucas seems to have left room for his redemption from the very start. As difficult as it may have been to believe that there was some good left in Vader, a glimpse of the charming young Anakin, Lucas did redeem him – when his son Luke Skywalker would not kill him when he had the chance, he showed him compassion and this helped Vader become aware of his own long-lost compassion – just like parts of his original, untainted-by-evil body remain, so do some untainted-by-evil parts of his soul remain. By killing Darth Sidious and saving his son, Darth Vader is redeemed.

It is also interesting to note, and possibly explore further in the future, how in both mythologies, those turning evil change not only their appearance but also their names, i.e. their identities – Anakin Skywalker becomes Darth Vader, Mairon becomes Sauron, Smeagol becomes Gollum, Kylo Ren is actually Ben Solo, and the Witch-King of Angmar had a human name previously (not revealed by Tolkien).

To conclude, the proverbial Devil's mark as a physical sign of having made a deal with the Devil, may have reached its peak in popularity in folktales and actual witch trials in the (very) late Middle Ages, all the way up to the 18th century, when inquisitors looked for any physical deformity or marking to prove someone was a witch or a servant of the Devil, i.e. evil. What is remarkable, however, is that this practice of physically marking evil characters actually remains unaltered in the literature and cinematography of the 20th and 21st centuries, with perhaps more obvious and more extreme markings, including dismemberment or disembodiment as well.

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NEOROMANTIC ELEMENTS IN J.R.R. TOLKIEN'S WRITING

Abstract: Neoromanticism or the Neo Romantic movement may be easier to define, than it is to frame within a strict time framework. Some see it as a 20th-century resurgence of romantic ideas which began around 1928 and lasted up to the mid-1950s, while others locate it within a larger framework going back to the 1880s (being a reaction against naturalism) and lasting up to today. Depending on which timeline one adopts, it is sometimes synonymous with post-romanticism and late romanticism. However, regardless of its timeline, the movement has had profound effects lasting well into the end of the 20th century, becoming a reaction against modernism and postmodernism, and spreading into areas such as painting, music, literature, cinema, as well as architecture. As a movement, neoromanticism seeks to revive both romanticism and medievalism (the influence and appearance of 'the medieval' in the society and culture of later ages) by promoting the power of imagination, the exotic, the unfamiliar, further characterized by the expression of strong emotions (such as terror, awe, horror and love) as well as the promotion of supernatural experiences, the use and interest in Jungian archetypes and the semi-mystical conjuring of home. Furthermore, neoromanticism feels strongly against industrialization and the disconnectedness from nature in the modern world, rejecting the di-

chotomy between society and nature. It also embodies a wish or desire for a Utopian connection to nature uncoupled from social expectations and tradition, and going back to nature that has not been victimized by human civilization and industry. Most of these ideas may be found embodied in both the life and the writings of J.R.R. Tolkien, who famously declared to his son that he was, in fact, a Hobbit. His writings abound in creatures who not only live in harmony with nature (the Elves, the Hobbits), but embody it as well (the Ents) because romanticism (and subsequently neoromanticism) is, in essence, all about nature. In contrast, the evil of the main antagonists in his mythology (Melkor/Morgoth, Sauron, Saruman) is seen through their destruction of nature. Tolkien actually reverses the romantic line of vision with the creation of the Shire, which is seen as a 'post-medieval' society that has developed out of the Middle Ages, making Tolkien a medievalist dreaming of an organic and harmonious continuation of transformed and 'purified' Middle Ages as found in the Shire. This essay will present several of these characteristics mentioned and how the creatures of Tolkien's mythology present a reaction against the industrialization of his time and neighboring county, while showing how these are ideas are still (perhaps even more so) relevant in the 21st century as well.

NEOROMANTICISM

The 20th century saw a dualistic attitude towards romanticism: for most of it, any reference to romantic ideas or notions was looked down upon as kitsch or cultural conservatism, because most of its impulses were seen as antimodern. The list of perceived negatives of romanti-

cism continues with "its quietism, its sentimentality, its divinization of the visionary powers of the (male) artist, its depoliticization of art, its aesthetic ideology, its masculinism, and, for some (not so long ago), its emasculated, feminine sensibility" (Kompridis in Eldridge, 2009:248). However, an undeniable resurgence of interest in romanticism and its main postulates is very evident not just in the 20th, but in the 21st century as well. Furthermore, according to Kompridis (ibid.):

> A reinherited romanticism might provide us with a richer evaluative vocabulary than modernism could provide, one that might make it possible for us to say yes or no to modernity, to the present, to the future, in more complex and nuanced ways. And so the resurgence of interest in romanticism could be construed as part of a growing realization that it may be unwise as well as self-contradictory to live modernity's form of life unromantically.

The name we give this 'reinherited romanticism' nowadays is neoromanticism or, as some have called it, the Neo Romantic movement. The exact timeline of this movement is problematic: according to some, it is a 20th-century resurgence of romantic ideas which "extended from around 1928 to the mid-1950s" (Saunders, 2004:506), claiming it was "short-lived, contained and minimal in its influence…in short, a kind of a mid-century aberration" (507). However, even those who see it at such, do not underestimate its significance, calling it "considerably more profound and far-reaching than its critics have so far acknowledged" (ibid.) Others locate it within a larger framework starting as a reaction against naturalism, going back to the 1880s, and lasting up to today, when it is seen as a reaction against modernism and postmodernism.

What is it exactly in the original ideas of late 18th- and 19th-century Romanticism that keeps resurging and has attracted the interest of writers, musicians, philosophers, readers for two and a half centuries?

ROMANTICISM

Romanticism appears to be quite difficult to define on its own as well: on the one hand, we may have studied it as a list of characteristics found in literature and art in the late 18th and early 19th century that were considered 'romantic' but, on the other hand, precisely due to its constant resurgence, there is a tendency *now* to understand it more "as the self-conscious attempt to confront the aesthetic problems of philosophy and modern society" (252) and by modern society we mean contemporary society, *any* contemporary society. To add further to its complexity, Craig R. Smith in his book *Romanticism, Rhetoric and the Search for the Sublime: A Neo-Romantic Theory for our Time,* shows us that "the Romantic Era had roots stretching back through Humanism to the classic writers on rhetoric" (276). Its coming to life in the late 18th century, however, "was a reaction to the Enlightenment, which Romantics blamed for the alienation of mind and body, and the separation of humans from nature" (ibid.)

Be that as it may, these two views make neoromanticism just as complex and stating that a piece of art *is* neoromantic would, in essence, require some sort of criteria to go back to.

> That, inevitably, leads us to *The Lyrical Ballads* published in 1798 or, more specifically, to the preface written by William Wordsworth two years later which, according to Meyer Howard Abrams (1953) "does have

something of the aspect of a romantic manifesto" (100). In this preface, he outlines an approach to poetry that will later on be labeled "romantic". According to him, in this approach, he and Coleridge attempted

> to choose incidents and situations from common life, and to relate or describe them, throughout, as far as was possible in a selection of language really used by men, and, at the same time, to throw over them a certain colouring of imagination, whereby ordinary things should be presented to the mind in an unusual aspect; and, further, and above all, to make these incidents and situations interesting by tracing in them, truly though not ostentatiously, the primary laws of our nature: chiefly, as far as regards the manner in which we associate ideas in a state of excitement. (2003:7)

Furthermore,

> Humble and rustic life was generally chosen […] because in that condition the passions of men are incorporated with the beautiful and permanent forms of nature. The language, too, of these men has been adopted because […]from their rank in society and the sameness and narrow circle of their intercourse, being less under the influence of social vanity, they convey their feelings and notions in simple and unelaborated expressions. (ibid.)

Romanticism is, therefore, "first and foremost committed to nature" (Smith, 2018:4), but apart from this tendency to focus on nature and rural life, neoromanticism draws from some of the other characteristics of Romanticism for inspiration as well, such as the strong resistance against industrialization and urbanization. The need to reconnect with nature and resist urbanization is understandably very pertinent in the past two centuries, which

saw mankind moving away from nature and towards technology, experiencing increasing senses of alienation and interpersonal despair. This form of neoromanticism rejects the dichotomy between society and nature. It also embodies a wish or desire for a Utopian connection to nature uncoupled from social expectations and tradition, and going back to nature that has not been victimized by human civilization and industry. This focus on nature is inspired by the first strand of the movement of Romanticism and it flows from Wordsworth and his poetry. In this strand everything is familiar, recognizable, as cited above, humble life is presented, ordinary people are portrayed and everyday language is used. The power of imagination is promoted, but here there are no supernatural elements.

They belong to the second strand of Romanticism, the one which stems from Coleridge and his writings. There, the focus is on the exotic, the unfamiliar, further characterized by the expression of strong emotions (such as terror, awe, horror and love) as well as the promotion of supernatural experiences. In his writings, "the supernatural is made to seem natural" and for example, in *Kubla Khan*, he "combined an exotic setting and a mysterious atmosphere with a strange and original music" (1980:9). This strand will pick up on the 18th century's foundation of Gothic novels, which will continue into the 19th century as well.

MEDIEVALISM

Yet another movement, so to say, that neoromanticism seeks to revive is medievalism, a noun which came into being in the decade of the 1840s, according to David Matthews (2015:x), and that same decade saw "medieval-

ist developments in architecture, literature, opera, religion and political theory" (ibid). Medievalism nowadays is considered "the study of responses to the Middle Ages at all periods since a sense of the mediaeval began to develop" (165).

When being inspired by the Middle Ages, according to Honegger, it is usually by "'conceptual' and idealised Middle Ages [which] are characterised by a pre-Reformation unity and spirituality, a clearly structured (feudal and paternal) estate society, a (more or less clearly) identifiable national character, and by personalised political and professional relationships" (2010:49). The 19th century found itself influenced by these 'idealised' Middle Ages, so that it "furthered the idea of the grotesque Middle Ages, simultaneously developed a romantic Middle Ages, and ultimately produced professional medieval studies" (Matthews, 2015:40).

To illustrate the perplexing complexity of medievalism, here is Umberto Eco's taxonomy of the Middle Ages as presented in his essay "Dreaming of the Middle Ages" (in Matthews, 2015:17-18), in which Eco looks back at the different ways the Middle Ages has resurged in the centuries that followed it. He identifies ten different kinds of Middle Ages:

1. The Middle Ages as a *pretext*, where the historical background of the Middle Ages is used as a setting, but with no real interest in the history.

2. The Middle Ages as the site of an *ironical visitation*, where the Middle Ages are revisited as heroic fantasy.

3. The Middle Ages as a *barbaric* age, a land of elementary and outlaw feelings.

4. The Middle Ages of *Romanticism*, with stormy castles and ghosts.

5. The Middle Ages of the *philosophia perennis* or of neo-Thomism, of elements of the Middle Ages in modern structuralism and semiotics.

6. The Middle Ages of *national identities*.

7. The Middle Ages of *Decadentism*, for example the Pre-Raphaelites.

8. The Middle Ages of *philological reconstruction* which, according to Eco, help us criticize all the other Middle Ages that at one time or another arouse our enthusiasm.

9. The Middle Ages of so-called *Tradition*, referring to the Templars, Rosicrucians, alchemists, for example in Dan Brown's The *Da Vinci Code*.

10. The last one Eco writes about is the *expectation of the Millennium* and he calls it a source of many insanities.

Even though Eco probably wrote this taxonomy tongue-in-cheek, it still, nonetheless, should have brought home even more clearly that the two movements or periods neoromanticism seeks to revive – Romanticism and the Middle Ages – are far more complex than simple chronological periods belonging to the past, as they both have found ways to keep on reviving through the centuries.

J.R.R. TOLKIEN AS A NEOROMANTIC

Now, to move on to the author in question, J.R.R. Tolkien (1892-1973), who is best known for his trilogy *The Lord of the Rings*, as well as *The Hobbit* and the posthumously published *The Silmarillion*. Tolkien was a medievalist, a philologist and writer, who created a legendarium or a fictional mythology about the remote past of the Earth, as well as several artificial languages, some more,

some less formed. His entire legendarium is in one way or another very obviously related to either the Middle Ages or Romanticism, and these reflect his own beliefs and feelings as he reacted to the (changes of the) world around him. Let us look at a few examples from his writings.

First of all, the Shire – the idyllic home of the Hobbits, who seem to be embodiments of romantic idea(l)s and thoughts. In the prologue to the first part of *The Lord of the Rings* trilogy, *The Fellowship of the Ring*, he says:

> Hobbits are an unobtrusive but very ancient people, more numerous formerly than they are today; for they love peace and quiet and good tilled earth: a well-ordered and well-farmed countryside was their favourite haunt. They do not and did not understand or like machines more complicated than a forge-bellows, a water-mill, or a hand-loom, though they were skilful with tool. (Tolkien I, 1986:1)

Furthermore, "they keep flower gardens and have great appreciation for trees" (in Dickerson, 2006:98). And Tolkien, himself, in probably his most famous quote, states:

> I am in fact a Hobbit (in all but size). I like gardens, trees and unmechanized farmlands; I smoke a pipe, and like good plain food (unrefrigerated), but detest French cooking; I like, and even dare to wear in these dull days, ornamental waistcoats. I am fond of mushrooms (out of a field); have a very simple sense of humour (which even my appreciative critics find tiresome); I go to bed late and get up late (when possible). (letter 213)

Both the description of the Hobbits and of him as a Hobbit clearly reflect the romantic ideals of the love of nature, a slow-paced, simple and plain life, detestation of

industrialization. Furthermore, he says that "the Shire is based on rural England and not any other country in the world" (letter 230) – the rural England he has in mind is set around the time of Queen Victoria's Diamond Jubilee, i.e. 1897.

Part of the reason why Tolkien romanticized the rural countryside has to do with his mother's death. According to his biographer, Humphrey Carpenter,

> his mother's death had severed him from the open air, from Likey Hill where he had gathered bilberries, and from the Rednal Cottage where they had been so happy. And because it was the loss of his mother that had taken him away from all these things, he came to associate them with her. His feelings towards the rural landscape…now became emotionally charged with personal bereavement. This love for the memory of the countryside of his youth was later to become a central part of his writing, and it was intimately bound up with his love for the memory of his mother. (in Dickerson, 2006:73)

In addition to this, Tolkien's romantic ideas are "most clearly represented by his use of the nature-machine conflict" (Clinton, 2017:27-29). He grew frustrated and discontented with the changes happening and changing the face of England and he was quick to express that discontent:

> Not long ago – incredible though it may seem – I heard a clerk at Oxenford declare that he 'welcomed' the proximity of mass-production robot factories, and the roar of self-obstructive mechanical traffic, because it brought his university into 'contact with real life'. He may have meant that the way men were living and working in the twentieth century was increasing in barbarity at an alarming rate, and that the loud demonstrations of this

> in the streets of Oxford might serve as a warning that it is not possible to preserve for long an oasis of sanity in a desert of unreason by mere fences, without actual offensive action (practical and intellectual). I fear he did not…The notion that motor-cars are move 'alive' than, say, centaurs or dragons is curios; that they are more 'real' than, say, horses is pathetically absurd. (in Helms, 1974:73)

Clinton further summarizes Tolkien's detestation of industrialization as follows,

> What is mechanical or machine-driven is what is highly rational, reasoned and scientific. The machine is indifferent to its own functions; the machine doesn't care what the input is, nor what the output is, only that it runs and produces. The dark forces of Sauron and Saruman rely heavily on industrial machinery to produce their military strength. (29)

This is beautifully, albeit sadly, illustrated by Saruman's destruction of parts of Fangorn forest, the home of the Ents, a tree-resembling race in Tolkien's mythology. Treebeard, one of the Ents, also voices Tolkien's detestation of industrialization when he says of Saruman

> I think that I now understand what he is up to. He is plotting to become Power. He has a mind of metal and wheels; and he does not care for growing things, except as far as they serve him for the moment. (Tolkien II, 1986: 89)

The Ents are one of the races, together with the Hobbits, who clearly reflect Tolkien's (and the Romantics') deep appreciation and reverence for nature and a care for the environment. Another of these races are the Elves. They are "at least as environmentally aware as the Hobbits

are, and in many ways, their environmentalism is more sophisticated…even more than Hobbits, Elves identify themselves, and are identified by others, with the life of Middle-earth and see themselves as stewards and guardians of its beauty" (Dickerson, 2006:99).

In relation to the Hobbits, some of them reflect the conflict between the familiar and the exotic, which tempted Bilbo Baggins to leave the Shire and go on an adventure, which was something Hobbits never did. The same is true for Frodo, who also had to leave on an adventure of his own, together with his three friends. Yet, these are the only exceptions, more or less, that we know of. Tolkien created the Shire to be so mystifyingly reminiscing of the notion of *home,* that, in a form of romantic longing, nobody would want to leave it.

The Shire is not only a reflection of romantic views and ideals, but it is a reflection of some of the views of the Middle Ages. According to Honegger, the Shire and

> its idyllic rural and provincial qualities are exactly the elements that link it with the idealised 'conceptual' Middle Ages – which stand for a time before the cataclysmic events of the French Revolution (1789) in the case of the romantics, and the worst excesses of industrialisation and mechanised warfare (late 19th, first half of the 20th century) in the case of Tolkien. (2010:48)

This idea Honegger presents, of the 'conceptual' Middle Ages is particularly important, in our view, of what neoromanticism is trying to achieve. Furthermore, with Tolkien being a medievalist himself, he would be very apt indeed in bringing to life medieval ideas and his writings would, perhaps inevitably, be coloured by those ideas, or in the words of Jane Chance (2003:5) "Tolkien, was, over time, influenced by his own personal medievalism, his

profession as a medievalist, his relationships with other medievalists, and his own mythologizing in constructing his major fiction".

So, it is not surprising that not only the Shire, but the whole of Tolkien's Middle-earth seems influenced by this idealized Middle Ages topos. One characteristic of it is presenting the idealized Middle Ages as having a holistic and coherent view of the world, unified by religion (as this is Pre-Reformation, the religion in question is Catholicism). According to Honegger, as

> Tolkien himself pointed out (in letter 172), *The Lord of the Rings* is a Catholic tale – even more so since he removed all (or almost all) overt references to religious rituals and organised religion. The underlying ethos, often more felt than consciously noticed, is that of a coherent and harmonious metaphysical view of the world – a world that is indeed 'catholic' in the sense of the word as 'all embracing, comprehensive'. (2010:52)

Yet another characteristic of this topos would be the personal, yet hierarchical relationships of the pre-modern era and we find descriptions of these in *The Lord of the Rings*, in which "the societies of the Shire, of Rohan and of Gondor, are all hierarchical and personal" and are contrasted with the evil "'modern' and centralised state of Sauron that is hierarchical yet utterly impersonal" (Honegger, 2010:56).

These examples we showed here are only several of numerous ones that are to be found in the writings of J.R.R. Tolkien. More can be listed, which would further confirm the claim that he can, in fact, be considered a neoromantic.

CONCLUSION

In conclusion, in Tolkien's depiction of the Shire and the description of the Hobbits, Elves and Ents, we see the embodiments of romantic ideals, such as the love of nature, a simple, rustic life, environmentalism, as opposed to the destruction of nature and industrialization embodied in the evil characters. Largely influenced by his own medievalism, his writings also show a yearning for some of the aspects of the Middle Ages. Honegger actually gives more emphasis to the medieval elements in his writing, saying that "Tolkien is thus not so much a Romantic dreaming of a time long past, but a medievalist dreaming of an organic and harmonious continuation of transformed and 'purified' Middle Ages as found in the Shire" (2010:57).

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