

# CROSSROADS

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### ABSTRACTS

[The following abstracts appear in the journal in lieu of the entire articles in order to avoid possible copyright conflicts with the professional journals in which they are being published.]

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## EDITOR'S NOTE

*Crossroads* is an interdisciplinary, undergraduate research journal published by the Monmouth University Honors School. The contributors are Senior Honors Thesis students whose work has been chosen by the Honors Council as representing the most original, thoroughly researched, and effectively argued theses in their fields.

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### **NYC: A REAL BUST**

#### **Exploring the Volatility of the Current Real Estate Market**

**Michael Maggiore**

#### **Introduction:**

The real estate market is an intriguing, cyclical, and highly speculative market. Unlike most other assets, the real estate market is unique in that it is dramatically influenced by the conditions of the direct area where it is located. Generally, real estate is affected by local factors; however, the locality of a recession seems to be a nationwide epidemic in the United States. The pessimistic attitude toward the United States real estate market is exemplified by Trade Associations such as the National Association of Home Builders that state, “America is facing a silent housing affordability crisis,” and, “The National Association of Realtors agrees: ‘there is a continuing, growing crisis in housing affordability and homeownership that is gripping our nation’” (Glaeser 21). While some cities have been labeled as superstar cities, due to an inferred resiliency to recession, these cities are only lagging behind the inevitable fate of joining the rest of the nation in its real estate woes. Specifically, the perception of New York City (NYC) as a city of infinite opportunity for growth will be disproved with evidence to indicate that the city is on the verge of a severe real estate bust.

This project studies the market effects of reducing a contracting company’s tax benefits on financing real estate projects, including both economic and social ramifications. The traditional method of resolving a real estate recession is to lower mortgage rates and raise tax benefits in an attempt to stimulate consumer spending. This, in turn, benefits contractors of residential properties. However, with a residential glut, the removal of tax benefits can help stabilize the market to reduce the supply of housing projects by increasing the cost of capital to developers. This also has a social impact on low-income city residents who experience relocation due to the appreciation of home values and the tax burden increases associated with the amplification in price.

Tax exemptions for developers are a vital tool in determining the future financial undertakings of a construction firm. There exists an unforeseen correlation between the revision of tax exemption 421-a to the policies of 486-a and the supply of real estate in NYC. Tax exemption 486-a was developed to reduce the exploitation of tax benefits by wealthy developers in an attempt to create a greater supply of affordable housing;

however, this paper argues that it will have an opposite effect on the real estate market.

I propose that the revision of tax exemption 421-a to the policies of 486-a in NYC will result in a stabilization of the real estate market bubble as it becomes more difficult for developers to obtain debt financing. This will decrease the supply of new housing projects dramatically. As the real estate market stabilizes, the general value of residential properties will begin to exhibit close correlation to the parameters of the supply and demand model. Ultimately, the creation of affordable housing in a buyer's market will propel NYC out of the real estate recession.

### **Business Cycles:**

Business cycles are inevitable, reflecting changing market conditions. The volatility of markets measured by crests and troughs is a natural occurrence that requires companies to forecast sales more accurately to remain profitable. As the United States rate of real GDP growth declined through the fiscal year of 2006, many businesses retained optimistic forecasts that sales would continue to flourish (Mitchell 2). This confident attitude contributed to the real estate market recession occurring in NYC as individuals continued to spend excessive amounts of money on new housing projects and contractors erected more properties in what turned out to be an artificial market.

The real estate market of NYC is one where contractors perceive an indefinite increase in demand. Now that supply outweighs demand, contractors are experiencing a reduced flow in revenue marked by a decline in prices and property values. Despite a declining market, contractors persistently erect more residential developments. The reason for this and its social implications will be discussed.

### **Tax Exemption 421-a & 486-a:**

The value of NYC residential properties has increased over 200 percent in the past ten years, but this inflated growth was encouraged by the city's own housing policies (Brown 1). NYC offers an extensive amount of tax exemptions that can greatly reduce the capital burden of contractors. Specifically, tax exemption 421-a was established in the 1970's to spur housing projects and investments in NYC during a time of declining urbanization. However, the exponential growth of NYC as a capital of international business no longer requires governmental aid to fund an expansion of housing.

The Housing Supply Report (HSR) defines the growth of the real estate market: “. . . through new construction, substantial rehabilitation of

deteriorated buildings and building conversions from non-residential to residential” (HSR 3-4). Tax exemption 421-a made newly constructed, rehabilitated, and converted housing projects in NYC eligible for property tax exemptions from 10 to 15 years. A class 2 building is any structure that is a residential condominium or co-op building that exceeds three dwellings (Davies 1). The NYC property tax is 12.737% on a class 2 building, which defines almost all Manhattan and other borough residential structures (Stark 1). Therefore, developers were exempt from high property taxes on buildings worth millions. According to the Pratt Center for Community Development, the cost to NYC for tax exemption 421-a alone was over \$300 million per year (Pratt 1).

While tax exemption 421-a was reformed to stop taking millions of dollars away from NYC revenue, it was not restructured to help NYC out of its current real estate recession. This paper will seek to determine the ability of 486-a to stabilize the real estate market by reducing the ability of developers to finance projects through debt. This paper will enable local economies of diverse populations in real estate recessions to observe the social implications of curbing the financial capital of developers rather than the income of residents.

- **Social Implications:**

What made tax exemption 421-a questionable was that if a vacant property “was valued at \$1 million and the new property is worth \$10 million after construction, the property owner will not be taxed for the \$9 million increase in value for the exemption period” (Pratt 2). This hypothetical and undervalued scenario denied NYC of \$1,273,700 in property taxes per year for the duration of the exemption at the current 12.737% rate. Therefore, NYC was passing up potential revenue that could have been utilized to develop truly affordable housing for low-income families and establish a more stable relationship across property values.

The only individuals that benefited from this system were extremely wealthy developers that could afford to retain an endless cycle of construction of luxury class 2 developments. The removal of tax exemption 421-a became a controversial issue in the 1980’s. The reform of the program created a “Manhattan Exclusion Zone” where developers could only benefit from the tax exemption if affordable housing was offered under the 80/20 rule. This rule delegates 20 percent of the housing project to low-income families either on-site or off-site the premises. The homes that were



← considered affordable housing were rent stabilized for the life of the exemption, but upon expiration the rents could be adjusted as the builder desired. →

A rent-stabilized apartment in NYC near Lincoln Center rents for \$35,000 a month (Baumer 1). According to the Bureau of Labor Statistics, the average annual income in New York is \$44,060 (1). Therefore, with the average annual income just over \$44,000, there existed no need for tax exemption 421-a to create affordable housing priced at \$35,000 a month. The ability of wealthy investors to gentrify, or renovate destitute neighborhoods into wealth-appreciated areas, caused property values to increase driving out low-income families. This created the opposite effect to the purpose of the program. As these individuals struggled to find new housing, the city siphoned their tax dollars back to the wealthy developers responsible for their displacement.

The social implications of tax exemption 421-a is that it produced the opposite effects of the policy's objective. This system has gradually eliminated affordable housing and replaced it with inflated rentals. In 2005, "Prices have risen at more than twice the rate of either rents or incomes since 1996, a trend that even the mayor's office believes is unsustainable . . ." (Blodget 3). There is evidence to suggest that 421-a solely benefited wealthy developers and further oppressed the low-income families it was designed to aid.

In January of 2007, NYC Mayor Michael R. Bloomberg revised tax exemption 421-a to include amendments under the new policies of 486-a. The newly reformed tax exemption 486-a limits, ". . . the amount of the exemption for market rate apartments by allowing an exemption on the first \$650,000 of an apartment's assessed value only" (Heiberger 1). Therefore, the previous hypothetical situation of a property purchased for \$1 million and sold for \$10 million will be tax exempt on the first \$650,000. This developer will be required to pay nearly \$1.2 million at the current rate of 12.737% on the remaining \$9,350,000. In support of 486-a, Mayor Bloomberg believes that it, ". . . conforms to the needs of the present real estate market as developers no longer need encouragement to build in Manhattan" (Heiberger 1). This financial encouragement was responsible for the over-valued market in NYC, and this drastic decrease in incentives will cause the housing bubble to burst and housing prices to decline.

### **Property Taxes:**

Property taxes annually account for over forty percent of NYC revenue, according to the Office of the New York State Comptroller (Hevesi 2). According to Alan G. Hevesi, former Comptroller of the City of New York, economic contractions have established a growing pressure on property taxes as property taxes are insulated against economic downturns (2-5). This means that during economic recessions NYC relies heavily on the revenues generated from property taxes to compensate for other economic losses. Therefore, during a recession the worst decision of local governments is to permit property tax exemptions because it denies the state of guaranteed cash flows. The sub-prime mortgage market foreclosures and spin-off effects “will cost states more than \$103 billion in lost property values - \$9.5 billion for New York - and more than \$917 million in lost property taxes - more than \$102 million for New York” (Sisk 1). This decline in property tax revenue will only exacerbate the inexorable real estate recession because there would be less funds available to build low-cost housing.

### **Social Setting:**

The terrorist attacks of September 11, 2001 created unique results on an unstable real estate market in NYC. According to the findings of Andrew F. Haughwout and Bess Rabin, the exogenous shocks of the 9/11 attacks can be associated with significant changes in the spatial distribution of activities including consumer spending and business investments. Real estate investments were effected as “the destruction of the World Trade Center, while unanticipated, came amid a disequilibrium in the city’s real estate market” (Haughwout 61). The immediate declines in stock values, airline revenues, and consumer confidence, which were clouded by uncertainty and a heightened sense of fragility, intensified this disequilibrium. This imbalance caused the very real estate price bubble that is haunting the city now (Makinen 23).

The effects of 9/11 on unemployment were heightened as, “Employment in New York peaked in December 2000 and had declined by 60,000 jobs in August” (Haughwout 62). This demonstrated the downward trend in jobs that existed prior to 9/11, which only made matters worse as unemployment rates reached 5.4% in October 2001 (Makinen 12). Furthermore, 9/11 established unfavorable economic conditions as inflation and the consumer price index increased steadily since 2001, and

unemployment reached highs in NY in 2002 and 2003 at 6.5% and 6.6% respectively (U.S. Department of Labor). Normally, with a decrease in jobs, both the stock and real estate markets decline as disposable incomes diminish. However, this was not true for the NYC growth in home prices that continued to rise to a peak in 2002. This demonstrates the artificial climate investors and developers experienced in NYC even during times of unfathomable disaster.

The negative effects on economic activity are increased savings rates, declines in investments of financial assets, and high unemployment rates driven by poor consumer confidence. These economic effects have serious social implications on real estate. The recessionary period of 2001 has been extended into 2007 as “Consumer confidence fell in October [2007] for the third month in a row and is now at the lowest since just after Hurricane Katrina in 2005, as Americans fret about business conditions and their job prospects” (Kirchhoff). Therefore, the social climate of 2001 still effects the current financial markets of NYC as it is still recuperating from the terrorist attacks. Results of the artificial markets maintained during that time are the inevitable price declines necessary to bring the city out of the recession.

### **Supply & Demand:**

All markets, including the real estate market, are subject to the simple laws of supply and demand. The real estate market goes through severe recessions due to the inelasticity of the supply of properties. A primary cause for this inelasticity is the relationship between the time it takes to complete a project and the volatility of a market. The development of a class 2 building structure generally takes two years to complete, leaving developers defenseless against the market climate upon completion (Longo). Furthermore, this is generally aggravated due to a lag in time between reevaluations of prices and increases in supply. This means that home prices remain inflated instead of depreciating with market forces and, as the market begins to decline, those individuals holding inflated properties realize catastrophic losses.

While the NYC real estate market appeared to be an exception to the severe real estate problems of the rest of the country for quite some time, this phenomenon was only a result of the highly appreciated values of NYC homes, which are now falling in accord with the rest of the market. It will be demonstrated that “Construction is one of the most cyclical components of aggregate demand. On the demand side, the dynamics of construction activity depend upon . . . economic growth” (Tse and Raftery 1). Aggregate demand is the total demand for goods, or in this case housing, at a specific

period. The resiliency of highly appreciated values of NYC property is starting to show signs of weakness evident in the decline of market values of properties, the decline in new constructions, and the decline in the number of property sales.

The real estate market normally follows the prescripts that “The demand for new housing will depend on the demand for all housing, the stock of housing and the amount of replacement; while the amount actually built will depend on this demand and the building industry’s supply curve” (Hillebrandt 45). As developers continued to build without an increase in the demand for new housing in NYC, the stocks of inventory increased leaving developers responsible for the current recession. An indication that there exists too great of a supply of housing is evident in the statements of Ian Shepherdson, chief United States economist at High Frequency Economics, that “There are now 14.4 percent more homes for sale than a year ago, while actual sales are up just 3.3 percent. With mortgage demand slipping a bit and supply rising, price gains cannot continue at their current price” (Bajaj 2). In addition, according to Jonathan J. Miller, president of Miller Samuel Inc., “Rents have bottomed out this year and are flat or have risen a little” for the 2006 fiscal year (Steinhauer 1).

The laws of supply and demand state that as supply increases the general price of the entity will decrease. A prime example of this is found in the significant decrease of Manhattan condominium sales prices reaching a peak in 2004 at \$2.1 million to a depreciated value of about \$1.3 million in 2006 as exhibited in Chart 1.

- **Chart 1**



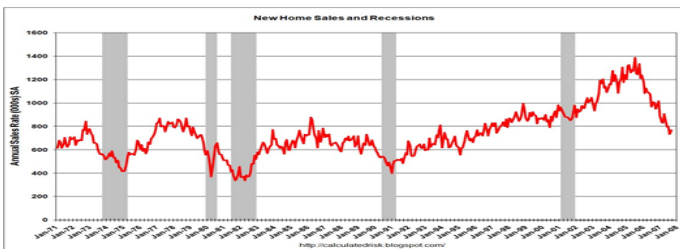
New York City Historic Average Sale Prices

(Neglia, Historic Average 1)

In addition, Urban Digs believes the reformation of 421-a is “. . . almost as if the government recognized the changing housing market in NYC and wanted to limit development a bit to control the number of new development luxury units” to address the hyper stimulated market (Rosenblatt 1).

Another signal that the supply of residential properties is too great is the maintenance of historically low mortgage rates that help maintain real estate activities (Neglia, Real Estate Bubble 1). The economy became so accustomed to the booming cycle of overwhelming demand with little supply that “this trend came to be expected as the norm for the industry” (Neglia, Real Estate Bubble 1). These steady increases in supply implicitly acknowledge, “. . . that in the current market, tax incentives may be needed less to get developers simply to build apartments than to build apartments New Yorkers can afford” (Scott 1). However, due to the inescapable business cycle, a recession in the real estate market is a necessary and unavoidable future. Mayor Bloomberg predicts, “a cooling in New York's real estate market that may result in a 10 percent decline in home prices and 14 percent drop in home sales over the next few years” (Goldman, Mayor Bloomberg 1). Bloomberg's prediction is closely associated with recent evidence that “the average sales price of co-op and condominium apartments fell 12.7 percent, to \$1.15 million” for 2007 (Leonhardt 2). The median sales price of these same properties fell 3.2 percent, to \$750,000. In addition, appraisal firm Miller Samuel and real estate firm Prudential Douglas Elliman calculated that the amount of time it took to sell a home was also up 30.4 percent over the same period (Leonhardt 2). Mark Zandi, co-founder of the economic forecasting unit Moody'sEconomy.com, predicts the NYC area will continue to drop from 1.0 to 7.0 percent each quarter through 2008. These statistics are solidified by evidence from Chart 2 showing the annual home sales rate in NYC decreasing from a high in mid-2005 to below the recessionary values of 2001 by January of 2008.

• **Chart 2**

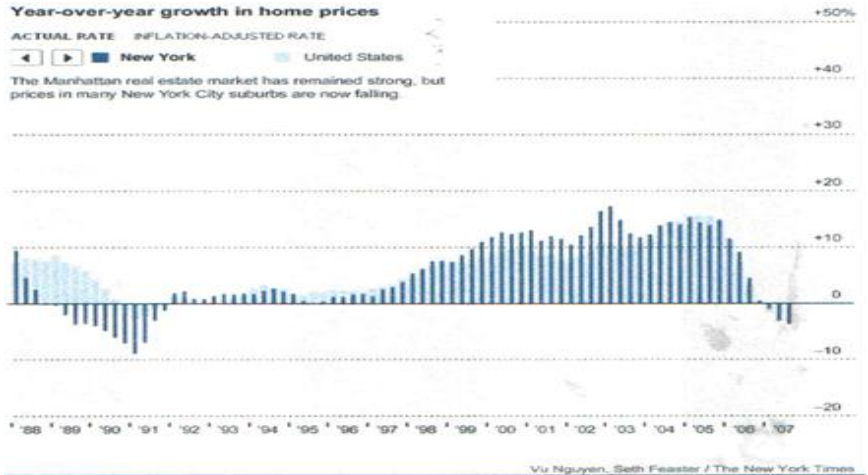


## (Calculated Risk)

This further solidifies the proposition that the supply of properties has saturated the current market and a real estate recession is under way in NYC as the bubble of inflated prices is showing signs of bursting.

According to David Leonhardt of the *New York Times*, the NYC year-over-year growth in home prices increased from the mid 1990's until 2005, after which the market decreased drastically (1). The growth in home prices decreased from a high of +18 percent to a low of -2 percent during this period. Under further analysis David Leonhardt finds that the inflation-adjusted rate for the growth of home prices was much lower during the 1990's in comparison to the actual rates and reached a low of -5% in 2007 as shown by Chart 3 (1).

### • Chart 3



(Nguyen 1)

Chart 3 exhibits the expansions and depressions of the NYC real estate market and reveals that since 2005 the market has shown the start of a recessionary period.

Mortgage brokers and lenders are partly responsible for the infinite demand the NYC real estate market seemed to display. This is validated by the reasoning that “. . . the amount of mortgage loans has an influence on the demand for residential construction, since house purchases are financed mainly by mortgage loans from banks (Tse and Raftery 1). Currently, lenders

are capping monthly mortgage payments up to rates of 50 percent of a borrower's gross monthly income, as compared to 28 percent in the 1980's. Quantitatively stated, "... a \$100,000-a-year buyer who in 1985 would have been able to qualify for payments of \$2300 a month can now qualify for payments of \$4,200" (Blodget 5). These current practices approve borrowers for loans that the borrower will find difficult to maintain over the life of the mortgage. Ultimately, a borrower is spending more of their income on mortgage payments and owning less equity in their homes in comparison to the 1980's. This supports the belief that a great deal of the wealth of the United States is a product of the appreciation of stocks and real estate, not savings accounts. Robert Middleton believes economists and real estate investors must have forgotten the '70s, '80s, and '90s when real estate cycles in NYC inevitably occurred (1). Middleton believes the problems of free credit, cheap money, and the gentrification housing boom were increasing steadily through the early 2000's, but are now on the downward trend (1). Therefore, as the nation maintains a negative savings rate and continues to invest in falsely appreciated assets, individuals simultaneously increase their exposure to declines in these assets.

There currently exists a buyers market in NYC because the demand for new and old housing is weakening and there is a huge inventory of residential spaces. This creates a transfer of power to potential buyers because the buyers have a wider selection of real estate and a negotiating edge. As builders are discouraged from building new homes under 486-a, and buyers are able to purchase properties at below market value, this will establish a stabilization of the market to reach an equilibrium point. At equilibrium, the real estate market will no longer be saturated with properties and the general prices of properties will become stable as supply decreases.

### **Debt Financing & Monetary Policy:**

The construction industry is a vital part of our economy due to its large output; therefore, it is highly sensitive to changes in the economy and monetary policy. The impact of this industry on a nation's economy is critical because "In most countries construction provides about half the gross domestic fixed capital formation, that is, half the production in the economy which is invested" (Hillebrandt 20).

During a real estate recession the ability of developers to obtain loans decreases with the introduction of 486-a. This is true because 486-a

creates a reduction in “. . . net operating profit after taxes (NOPAT), thus reducing free cash flows (FCF)” (Brigham 548). With fewer FCF, there are fewer funds available for distribution to the developer’s creditors during normal business activities and in the event of bankruptcy or liquidation. In addition, a reduction in FCF is the result of lower sales revenues, higher operating costs and taxes, and high-required investments in operations. With the introduction of a real estate recession it is evident that developers’ revenues are decreasing as sales of homes decrease, operating costs increase under 486-a, and the incurrence of high investments in operations. The ability of tax exemption 486-a to significantly reduce developer’s FCF will further stunt real estate growth in NYC and calm the effects of the bursting price bubble.

Financing projects through equity assumes large risks for developers and creditors on jumbo loans used to finance million dollar housing projects. With the ability to remain tax exempt for 10 – 15 years under 421-a, creditors assumed much less risk due to the ability of developers to repay loans quicker without property tax burdens. Furthermore, this benefited contractors as creditors required a lower risk premium on the risk free rate of the loans. Under 486-a builders will be responsible for the taxes on all properties assessed over \$650,000. Now, developers must take into account the supply side of their operations as, “important factors include availability of funds and borrowing costs” (Tse and Raftery 1).

The traditional channel of financing construction projects through the flow of credit from institutions is susceptible to changes in monetary policy. A restrictive credit supply from banks is similar to that of contractionary monetary policy where banks can raise interest rates to reduce the amount of money in circulation. Thus, “. . . a contractionary money supply cuts into bank reserves and reduces bank lending to all enterprises, including property developers” (Tse and Raftery 1-2). Therefore, restrictive credit supplies lead to declines in demand for assets including real estate, bonds, and stocks (Tse and Raftery 1). Empirically stated, a decrease in the money supply reduces developers’ cash flows and creates a decline in construction activity, which should have occurred during periods of rising rates from 2001 until the third quarter of 2007 (Economag 1). Consequently, the “. . . credit squeeze on construction activity depend largely on the developers’ ability to smooth over the drop in cash flows by alternative channels of borrowing or sources of capital” (Tse and Raftery 2). The current real estate market recession creates greater disturbances in the debt financing of developers’ as “the value of land and property as collateral



for loans decreases, and consequently, a developer's ability to raise further loans is reduced" (Tse and Raftery 3). Without assets to declare as security for loans during contractionary monetary policy, credit institutions and investors will be more likely to reduce cash outflows resulting in a reduction in developers' FCF and new housing projects.

Financial institutions strive to achieve a balance among three elements when making investments including, "the rewards from taking risks, the costs of taking those risks, and the institution's underlying ability to absorb possible losses from those risks" (Downs 175). The risk management of the probability of a project generating profits or losses determines its expected future cost to both the investor and the borrower. The lenders for construction funds assume a substantial portion of the risk of the project causing the interest rate on construction loans to be much higher than normal, permanent financing of other assets. Therefore, ". . . an increase in the interest rate directly affects the industry by increasing the cost of borrowing for contractors, so that those who have a substantial overdraft suffer badly and may be forced out of business" (Hillebrandt 24). An interest rate increase adds to the debt financing of contractors because as interest rates rise banks charge a larger premium on the risk free rate of borrowing. Alternatively, permanent financing is a loan taken to pay off long-term assets resulting in a lower risk of paying off the principal because it occurs over a long period. For this reason, construction financing differs from permanent financing in terms of the addition of risk, the mechanics of the loan structure, and the tax effects unique to construction financing.

For construction loans the disbursement of funds "is made in installments as work on the project is completed, and repayment is a lump sum at the end of the loan term" (Sirmans 306). Due to high costs, most developers do not possess the necessary financial capacity to undertake a project without the use of construction loans. Therefore, "With construction loans, the construction lender is repaid with funds advanced by a permanent lender," meaning that two loans must be acquired to fund the construction of the project in the form of a construction loan and another to make accrued interest payments during the term of the loan (Sirmans 307). Under these circumstances, upon completion of the project "the short-term construction loan ends and the builder-developer obtains long-term, permanent financing," to pay off the remainder of the project (Sirmans 305).

The credit constraint in NYC is similar to that of the nation's housing problems because as "there is less mortgage money, home sales and housing starts will be weaker, and inventories will rise further, putting

downward pressure on prices” (Cooper 26). Furthermore, under the policies of 486-a there will be less money available to contractors to finance projects creating a weaker financial environment. NYC is beginning to suffer the same consequences as the rest of the nation because “Developers, even when they realize that a downturn is on the way, are compelled to continue with a project, partly because they are already financially committed to it and partly because most projects are already in the pipeline” (Tse and Raftery 2). Senator Chuck Schumer, chairman of the Joint Economic Committee believes, “From New York to California, we are headed for billions in lost wealth, property values and tax revenues’ from the nationwide real estate meltdown triggered by sub-prime defaults” (Sisk 1). Mayor Bloomberg agrees, “We’re part of America and what happens in the rest of the country’s economy is going to have an impact on our economy” (Seifman 1).

Cushman & Wakefield, a real estate advisor and principal firm, believes that institutional advisors will soon replace private investors that use debt financing for real estate purchases in NYC. Cushman & Wakefield adds, “These changes could lead to fewer properties trading hands, fewer bidders for each available property and ultimately a reduction in values stemming from the rising cost of capital and an increase in perceived risk” (Levitt 1). Therefore, the ability of developers to obtain construction loans is decreasing with the introduction of tax exemption 486-a as FCF’s decline, and home sales decline coupled with increases in inventories.

Important concepts of the current downturn in NYC real estate are “lead-lag relationships between construction flows and flows of credit to the construction sector and between construction flows and the money supply” (Tse and Raftery 2). The lead-lag effect describes a situation where one variable is correlated with the values of another variable at different times. This shows that the demand for private construction is not autonomous, but is determined by the level of national output. Thus, “If national output rises, so will the level of construction activity needed to meet the expanded production capacity” (Tse and Raftery 3). However, a low rate of national income growth forecasts that the expected profitability of developers will be lower, increasing the possibility that lenders will not be paid back.

According to Tse and Raftery, “. . . when the rate of growth of money supply declines, the rate of change of real national income will not slow any appreciable effect for six to nine months on the average” (3). It is during this interval when lenders typically continue to see interest rates rise at an accelerated pace. It can be concluded from Chart 4, which

shows the inflation-adjusted prices of Manhattan real estate, that the Manhattan real estate market does not appreciate indefinitely.

- **Chart 4**



- Plotted in **black** is the average sale price of a Manhattan apartment over the last 30 years.
  - Inflation adjusted data is in **red**.
  - The 30-year mortgage rate is shown in **blue**.
- (Smith 1).

Normally the prices of NYC properties are valued in terms of nominal prices, or values in terms of the current prices that are not adjusted for the effects of inflation. However, it can be realized from the red line of Chart 4 that from 1989 to 1999 prices declined by half and are continuing to decline since 9/11 when adjusted for inflation. Michael Idov summarizes this current situation best when he writes, “Should the current liquidity crisis spread, New York real estate could theoretically crash without a single foreclosure in the five boroughs” as inflation adjusted prices plummet (Idov 49)

- **Effective Rate of Interest:**

The effective rate of interest charged to developers is a helpful tool in demonstrating the additional financial burdens associated with tax exemption 486-a. The effective rate of interest on the price of housing projects is calculated using the formula  $f = c - e$ , or the effective rate of

interest is equal to the rate of interest net of tax minus an increase in the value of a dwelling. The formula is easily manipulated to show the market environment of NYC. First one must calculate for  $c$  where,  $c = a - b$  or the rate of interest net of tax is equal to tax relief subtracted from the rate of interest payable on the loan. It should be noted that the introduction of 486-a eliminated any tax relief for developers creating an increase in  $c$ . Furthermore, the current climate in NYC would suggest a decrease in the value of the property adjusting the formula to  $f = c + e$ . In this case not only has  $c$  increased from the removal of tax relief under 486-a, but the effective rate of interest charged to developers on construction loans increases as the values of projects decreases.

According to the calculations presented in Appendix 1, while the effective rate of interest under 421-a is still high at a value of 17.09 percent it is 8.6 percentage points lower than the higher rate of 25.69 percent realized under the policies of 486-a. Therefore, on a \$2 million loan this amounts to a difference of \$172,000 associated with the transition to 486-a. These calculations prove not only the additional burdens to developers under the policies of 486-a, but also the effects of the recession on the high costs of debt financing with a reduction in property values. As mortgage rates have risen steadily, home prices have fallen, and the reduction in tax relief has demonstrated the devastating effects on a developer's ability to sustain construction loans. Ultimately, the effective rate of interest charged to developers is extremely high in the current real estate market climate of NYC and will decrease the growing inventory of developments as prices are adjusted.

### **Real Estate Market Bubble:**

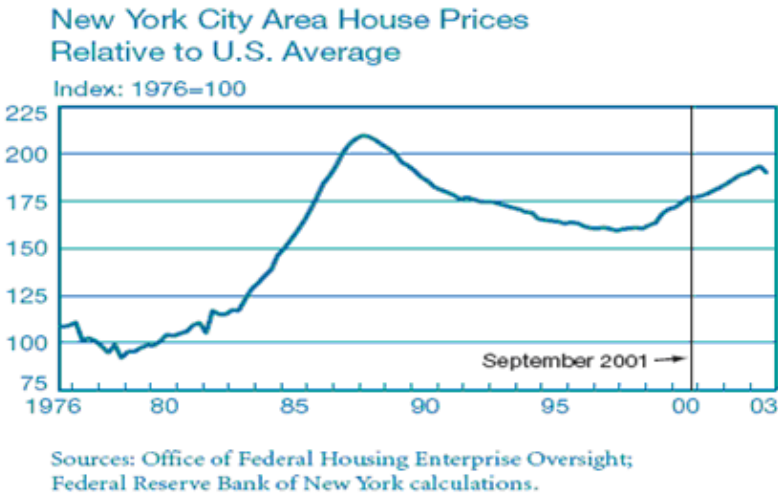
Real estate market bubbles are characterized by rapid increases in the prices of developments reaching unsustainable levels in comparison to incomes and economic factors. For the purposes of this paper, the existence of a real estate market bubble will be based on the definition, "If the reason the price is high today is *only* because investors believe that the selling price will be high[er] tomorrow – when 'fundamental' factors do not seem to justify such a price – then a bubble exists" (McCarthy 1).

In reference to the real estate bubble in NYC Jim Walker, a field-services consultant for Listingbook LLC and a 30-year veteran of the real-estate industry, states, "'It's an adjustment we have to go through because the market was artificially inflated . . . We've experienced appreciation [in some areas] of 25 percent a year. That's not normal'" (Seifman 1). Mayor Bloomberg cautions, "The number of big real-estate transactions has come to

a screeching halt in this city” (Seifman 1). The mayor worries that these losses in real-estate sales will take huge losses on the tax revenues normally generated from these sales (Seifman 1). Furthermore, “Credit tightening and hedge fund losses are expected to cut into the profits of the financial services sector of the city's economy, further eroding . . . revenues” (Goldman, New York City 1).

The exponential growth of real estate in NYC adheres to the hypothesis that “Home prices have been rising strongly since the mid-1990s, prompting concerns that a bubble exists in the asset class and that home prices are vulnerable to a collapse that could harm the . . . economy” (McCarthy 1). Ironically, home prices rose strongly during the 2001 recession and the sluggish recovery of mid-2003 McCarthy 1). By examining Chart 5, there is evidence to demonstrate that the 9/11 attacks on the World Trade Center had no effect on the demand for residential locations in NYC as the graph continues to rise.

- **Chart 5**



(Haughwout 3)

As exhibited by Chart 5, “Repeat-sale house prices in the metropolitan area were rising faster than they were in the rest of the nation both before and after the attacks, as depicted by the steady rise in the index on both sides of the September 11 point” (Haughwout 63). The fact that an unstable real

estate market can continue to experience rising prices during a recessionary period and the economic effects of a terrorist attack is unfathomable and verifies the existence of a real estate market bubble. This is true because prices were inflated based on investors' speculations without any fundamental factors supporting these increases because normally the prices of assets decline in accordance with a decrease in spending coupled with a loss in income as unemployment rises. This becomes more ironic because during recessionary periods households normally adopt an adverse response to this economic environment, as they consume less and save more in fear of worsening conditions. Analysts argue that "... such a decline in household wealth would have adverse macroeconomic effects, as already overextended consumers reduce spending to boost saving and improve their weakened financial condition," but this was not the case in NYC (McCarthy 1). Investors' false presumptions led to artificial optimism, but they only solidified the certainty of a real estate market bubble (McCarthy 1).

- **Hyman Minsky Model:**

Economists use many instruments in the analysis of markets including the Hyman Minsky model of asset bubbles. This model driven by credit cycles, point to an imminent bust in the NYC real estate market. Hyman Minsky found that "... periods of economic and financial stability lead to a lowering of investors' risk aversion and a process of releveraging," driven by investors' reaction to borrow excessively and as a result drive up asset prices exceedingly high (Lee 1). Simply put, economic stability creates riskier investors that perceive a market to be a safe investment, such as NYC during the late 90's, and suffer catastrophic losses when the market crashes. As indicated by Hyman Minsky these investors come in three types,

First come 'hedge borrowers,' who play with their own money; they are followed by 'speculative borrowers,' who have enough cash flow to keep the lender at bay but not enough to cover the principal investment, and finally 'Ponzi borrowers,' who are, as the name suggests, borrowing to refinance other debts they can't meet, in the wild hope that the market will keep climbing. (Idov 49)

The Minsky model shows that during times of stability investors take large risks on markets, but as the market begins to decline, prices fall drastically as

speculative borrowers cannot repay loans. Ultimately, as speculative borrowers cannot repay loans, they may become Ponzi borrowers by refinancing debt in hopes that the market will appreciate. When this cycle occurs, it will be unlikely for developers to continue building in a depreciated market and undertake loans that will result in losses. This situation is similar to the sub-prime debacle facing the nation, as it is directly hindering the real estate market of NYC as sub-prime borrowers default, and indirectly as the national economy worsens.

Under further analysis, Harvard professor Edward Glaeser has studied housing data on metropolitan areas in the country from 1980 until 2004. According to Glaeser's research, he "estimated that on average, for every dollar a city gains in prices over five years, it loses 32 cents over the next five years" (Idov 49). This research supports indications that a slump is underway, which is evident in pockets of weakness throughout the boroughs as prices have decreased. This is exemplified when Michael Idov writes, "it was moneymaking Manhattan pulling up the stats for the rest of the city . . . But Queens, the city's leader in foreclosures, and the rest of the boroughs went on a backslide that roughly mirrors the broader American slowdown" (49). Across the city, which has 3.2 million households, there were 7,314 foreclosure filings during the third quarter of 2007, up 37% from 2006 (Croghan 1).

The Corcoran Group has found that Fifth Avenue median prices are at \$3.1 million, "but that was an 11 percent drop from a year ago, when the median was \$3.5 million," and, ". . . the biggest slide in median prices went to Park Avenue; it fell from \$3.6 million a year ago to \$2.6 million, a 26 percent drop (Yan & Luhby 1). Furthermore, for the month of September 2007, commercial sales of real estate fell 67 percent in Manhattan in comparison to August, and residential sales dropped 53 percent over the same period as reported by the research firm Real Capital Analytics (Kelly 1).

According to Carol Finnegan, a foreclosure prevention counselor at Brooklyn Housing & Family Services, foreclosures are not occurring in NYC at the rate of the rest of the nation because the banks are stalling as long as possible (Croghan 1). The inevitability of foreclosures is evident in the September 2007 statistics that foreclosure filings have surged 21.7% in the Bronx, 17.5% in Brooklyn, and 13.7% in Queens since September 2006 (Croghan 1). Furthermore, a Senate report from October 2007 states, "The sub-prime mortgage crisis will cost New York State \$9.4 billion in lost property values and lead to nearly 15,000 home foreclosures in the five

boroughs” (Sisk 1). Further proving the vulnerability of NYC to the real estate market bubble is exemplified in the quote,

Much has been said about Manhattan's perceived real estate invincibility in the aftermath of the sub-prime meltdown, but lawyers representing dozens of condominium boards in some of the city's wealthiest neighborhoods say they are seeing these default cases increase as much as 25% this year. (Hope 1)

The precipitous rise in foreclosures gripping NYC in conjunction with declines in prices proves that the real estate bubble has burst and a recession is well underway.

### **Tying It All Together:**

There is evidence to suggest that the real estate market of NYC is certainly experiencing a recession. A worst-case scenario for the social climate of the market as proposed by Michael Idov is if, “Consumer spending weakens nationwide, as the slackening economy, soft labor market, and progressively crunched financial markets create a vicious circle” of depressive financial environments (50). Under these circumstances there is less money circulating in the economy as spending is significantly cut as citizens become worried about a depression. In response, the Fed may try to cut rates as they attempted to accomplish in September and October of 2007, but it will be too late because with a debt-wave underway there will be high risks of housing repricing. Furthermore, the inverse relationship that exists between interest rates and bond-yields will cause government bond-yields to fall as interest rates rise, which will establish higher rated adjustable-rate mortgages. Those incapable of affording these new rates will suffer by selling properties at a loss and the supply of real estate will continue to increase as the number of existing homes on the market will heavily outweigh the number of new constructions.

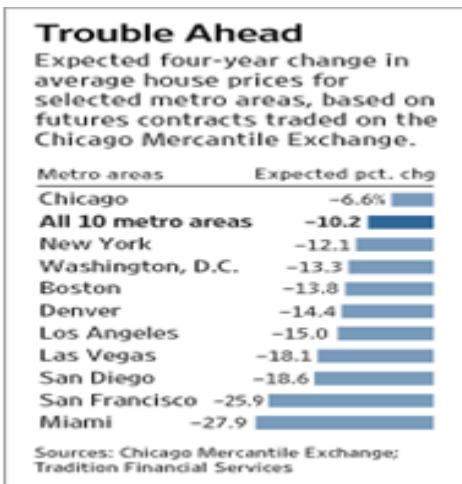
Lastly, there will be “an insolvency crisis afoot as homeowners, mortgage lenders, home builders, financial institutions, and even some corporations go into debt distress” with the NYC economy collapsing under unserviced debt (Idov 50). Furthermore, as homeowners and contractors need to refinance their debts, it will come at a huge loss because they will be refinancing loans on properties that have significantly decreased in value.

These hypotheses become more credible with consistent data demonstrating that inventories of new homes required 7.5 months to sell in



July 2007 and the stocks of existing homes for sale increased drastically, reaching a 9.6-month supply, which is more than double the amount of homes for sale two years ago (Cooper 23). Inevitably, this “. . . new slackening in home demand and construction will create a heavier drag on economic growth in the coming year than appeared likely prior to August” (Cooper 23). Perhaps the most unsettling news is that “Over the past year, the contraction in homebuilding subtracted about 0.9 percentage point per quarter, on average, from the economy’s annual rate of growth . . .” (Cooper 23). This foreshadows the worsening condition of the NYC real estate market as the economy’s performance decreases. Lastly, according to the Chicago Mercantile Exchange, the expected change in home prices in NYC over the next four years is estimated to be a decrease in value of 12.1 percent, as exhibited by Chart 6.

- Chart 6



(Hagerty 1)

- **Interview:**

To support the evidence presented in this paper, Gerard Longo, president of Madison Estates and Properties in Brooklyn, was interviewed based on his expertise in the development of class 2 structures and real estate in Manhattan, Queens, Brooklyn, and the Bronx. When questioned about his utilization of tax exemption 421-a, Mr. Longo stated that the “Loss is going to change the real estate business in NYC dramatically!” Mr. Longo admits

before discussions of the abolishment of 421-a Madison Estates consistently had about ten new developments in the pipeline from 25 to 100 units each, with some projects under construction, some nearing completion, and others still in the marketing phase. Mr. Longo states that the loss of 421-a “Dramatically effects affordability, so [Madison Estates] is holding back to see where the market is going due to a weakened market and the additional costs associated with the removal of tax exemption 421-a”.

Madison Estates utilizes debt financing to support its developments and under tax exemption 486-a the company is responsible for the financial slack associated with the loss of tax relief from 421-a. Madison Estates conducts debt financing through the accumulation of equity by private investors as a portion of the down payment for the project, but all developments have construction loans that must be repaid at the conclusion of the project. Tax exemption 486-a has led to a decrease in private investors in Brooklyn, the Bronx, and Queens, creating a greater reliance on larger construction loans needed to sustain development.

Mr. Longo adds that the forecast fallout from the sub-prime debacle should be expected to influence NYC, as more foreclosures will occur. He predicts that the middle-class owners will be affected most as they have purchased residencies that they cannot afford in a weakened market. While Mr. Longo was not willing to forecast where he sees the market in the next five years, he admits that he has observed a sharp decline in sales in both Brooklyn and Queens where there is a great deal of inventory slated to hit the market. There are approximately 7,000 to 10,000 units entering the market in the next two years, and he questions if developers will see a leveling off of prices because he does not believe the market demand can absorb that kind of supply without significant reductions in property values. Furthermore, when questioned if the sub-prime market is affecting the business of Madison Estates, Mr. Longo stated, “The sub-prime issues are not hitting [Madison Estates] personally, but a poorly performing national economy and foreclosures affect everything in the real estate business”.

The interview with Gerard Longo confirms the hypothesis of this project. As supply currently outweighs demand, developers will see sharp declines in values as the price bubble bursts and a buyer’s market emerges in NYC. Furthermore, the removal of tax exemption 421-a will deter future projects of developers as it significantly alters their decision-making process due to increases in financial burdens. Therefore, as developers are reluctant to invest in the NYC real estate market and new projects decline, prices will decline in correlation to the supply and demand model. As prices reach an

equilibrium point that the economy can sustain, NYC will come out of its real estate recession and enter a stable financial climate for risk conscious investments in a buyer's market.

**Conclusion:**

A private investor in the real estate market is best defined as, "... a speculative builder – speculative in the sense that there is uncertainty as to whether the dwelling will be sold" (Hillebrandt 34). It the speculative investor that has fueled the current downtrend in prices in NYC through the creation of an artificial environment of infinite opportunities. This same investor is now dissuaded from the NYC real estate market due to rising inventories, declining sales, and difficulty in attaining any debt financing with the associated tax burdens of 486-a.

This paper provides substantial evidence to indicate that the revision of tax exemption 421-a to the policies of 486-a in NYC will result in a stabilization of the real estate market bubble. This is evident, as home prices have fallen in NYC, it has become more difficult for developers to obtain debt financing as demonstrated through the calculation of the effective rate of interest charged on construction loans and primary data generated from Gerard Longo of Madison Estates. Furthermore, the supply of housing projects has decreased dramatically, evident through declines in new constructions, rising inventories, and borough wide foreclosures. As the real estate market stabilizes in NYC, the general value of residential properties will exhibit close correlation to the parameters of the supply and demand model as prices fall in relationship to average income statistics and economic activity. The current market in NYC will create affordable housing in a buyer's market that will propel NYC out of the real estate recession as the prices of developments become linked with the declining financial environment.

As more developers reduce investments and foreclosures increase, a new market stock of real estate will be available to low-income families. Depreciation in real estate values in NYC will create affordable housing as projects in the pipeline will now be worth less upon completion. Furthermore, the property taxes accrued under the policies of 486-a will generate revenues the city can use to construct even more affordable housing for low-income families. However, with the introduction of 486-a developers will no longer be responsible for the construction of low-income housing under the 80/20 rule. Without the development of affordable housing, NYC will become susceptible to a real estate bubble again as an artificial market with stocks of solely luxury class 2 projects surfaces. When NYC emerges from the real estate recession it will be interesting to observe the social

effects this will have on NYC residents as all individuals could be vulnerable to gentrification under 486-a in a thriving economy. Ultimately, low-income families will not benefit from 486-a, but may only take advantage of the current short-term declines in property values as 486-a does not address the low-cost housing crisis in NYC.

The real estate bubble crisis in NYC is defined best by German philosopher Arthur Schopenhauer's quote, "All truth passes through three stages. First, it is ridiculed. Second, it is violently opposed. Third, it is accepted as being self-evident" (1). The inception of the existence of a real estate recession in NYC was highly ridiculed. Secondly, the real estate market bubble was, and still is, highly debated by economists and real estate agents. However, the truth is that no matter how hard developers, investors, creditors and economists try to ignore its existence, a real estate market recession is well underway in NYC and will become self-evident to all as the bubble bursts further within the next few years and the economic and social ramifications are recognized.

### **Appendix 1:**

- **Calculations:**

The property tax expenses presented in previous sections is calculated as follows:

#### **Under 421-a:**

- $\$10,000,000 * 12.737\% = \$1,273,700$

#### **Under 486-a:**

- $\$10,000,000 - \$650,000 = \$9,350,000$
- $\$9,350,000 * 12.737\% = \$1,190,909.5 = \$1.2 \text{ M}$

The effective rate of interest in relation to the price of housing is calculated using the model presented in Patricia M. Hillebrandt's text, *Economic Theory and the Construction Industry* (37).

- $f = c - e$

- $c = a - b$
- $f$  - effective rate of interest
- $c$  - rate of interest net of tax
- $e$  - increase in value of dwelling
- $a$  - rate of interest payable on loan
- $b$  - tax relief

Consider a hypothetical loan for the construction of a \$2,000,000 condominium project in NYC beginning in 2006.

**Under 486-a:**

- $a = 6.75\%$ 
  - (30-year fixed rate ManhattanMortgage.com)
- $b = 4.14\%$ 
  - $\$650,000 * 12.737\% = \$82,790$
  - $\$82,790 / \$2,000,000 = 4.14\%$ 
    - Under 486-a the property will be exempt at 12.737% for the first \$650,000 of the property.
- $e = -23.08\%$ 
  - $\$1,600,000 - \$1,300,000 = \$300,000$
  - $\$300,000 / \$1,300,000 = -0.230769 = -23.08\%$ 
    - The decrease in value of housing was calculated using information from Chart 1 for the change in value of a condominium from 2005-2006. The change is about \$1.6 to \$1.3 million from 2005 to 2006 (Neglia).
- $c = a - b$ 
  - $c = 6.75\% - 4.14\%$
  - $c = 2.61\%$
- $fl = c - a$ 
  - $f = 2.61\% - (-23.08\%) = 2.61\% + 23.08\%$
  - $f = 25.69\%$

## Under 421-a:

- $b = 12.737\%$ 
  - $\$2,000,000 * 12.737\% = \$254,740$
  - $\$254,740 / \$2,000,000 = 12.737\%$ 
    - The value for tax relief is much higher under 421-a because under 421-a the tax relief is on the entire amount of the property value. Therefore, under 421-a the property will be exempt at 12.737% for the entirety of the \$2,000,000 loan.
- $c = a - b$ 
  - $c = 6.75\% - 12.737\% = -5.987\%$
  - $c = -5.99\%$
- $f2 = c - e$ 
  - $f = -5.987\% - (-23.08\%) = -5.99\% + 23.08\% = 17.09\%$
  - $f = 17.09\%$

## Difference:

- $f1 - f2 = \triangle\%$ 
  - $25.69\% - 17.09\% = 8.6\%$
- The 8.6% change realizes a difference in cost on the \$2 million loan calculated as:
  - $\$2,000,000 * 8.6\% = \$172,000$

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## **Visual Identity Exploration: The Relationship Between The “I” And “Me” In Identity Formation**

**Alexandra Bartlom**

### **Abstract**

Gender identity and class identity have great influences on career aspirations. Furthermore, institutional forces and social interaction influence all three factors.

As the literature and professors in this documentary assert, identity is highly malleable. Student interviewees have revealed how other people have swayed the way they view themselves and the decisions that they make in life. Power differences and the group dynamics involved in its perpetuation help explain why inequality occurs. Social categories such as class and gender help create these inequalities, and serve a purpose in organizing society.

### **Rationale**

I decided to explore the factors involved in the formation of identity because I learned through my personal experiences that other people and institutions play a crucial role in identity development. I have come to realize, through my research, the sensitive and complicated nature of identity. People find ways to negotiate their identities in order to feel most comfortable with where society has placed them in the world, based on social organizing principles such as class, gender, sexual orientation, and race. In his Social Psychology class, Dr. David Strohmetz taught about three different selves: the actual self, the ideal self, and the ought-to-be self (the expectations society has of who you are). However, in Philosophy Dr. Alan Schwerin has made me question whether this “actual” self exists. In support of this critique, sociologists like Dr. Nancy Mezey have made me consider that perhaps the only innate identity variable is temperament. After all, many psychology classes, including Dr. Doris Hiatt’s Theories in Personality class, describe how even personality characteristics that are assumed to be inborn can change over time. The general consensus among the professors that I have interviewed or learned from seems to support nurture over nature. These professors have stimulated questions in my mind that have led me to develop an interest in the topic of identity. I am conducting this research because I thought researchers have largely overlooked class identity in their studies, and because of my belief in the fundamental importance in understanding identity.

The qualitative methodology I used, more specifically visual sociology in the form of a documentary, sheds light on gender and class identities and career aspirations. Although the nature of a documentary will lend itself to a social desirability effect among participants, or the inclination to present oneself in a socially appealing manner (as I have learned from my past psychology research classes), audiences can draw many conclusions from the discussions presented. Viewers can appreciate the uniqueness of this project in both how I present the material, and from the material itself. In the documentary, undergraduate students and professors provide audiences with a comprehensive understanding of class identity, a topic often misunderstood and unexplored by researchers and non-researchers alike. The current literature on class identity does not provide learners with enough information to academically conceptualize the subject matter. Very little research has been done on the topic of class identity, and the video footage I gathered offers much insight into the effects of class on individual identity. In addition to matters of social class, this documentary covers a broad range of topics and contains a diverse sample of students and experts, from an array of disciplines.

## **Literature Review**

### **Introduction**

Identity appears to be the product of psychological, social, and cultural forces. Based on the literature I read, my argument is that identity is highly malleable and fundamental to human existence. One crucial factor to consider when conceptualizing the topic of identity involves status differences in the cultural expectations and demands placed on different groups of people. More specifically, power underlies the group dynamics involved in the formation of social identities (Hogg & Ridgeway, 2003). Stereotypes, or in a broader sense, ideologies, can have self-fulfilling tendencies which serve to subordinate groups of people (Newman, 2007, 151-154). According to several sociologists, social categories have a profound relationship to inequality (Kimmel, 2004; Newman, 2007). If one looks at the organization of society, one will see segregation of various social groups in terms of class status, gender, sexuality, race, and other aspects of division (Newman, 2007). One can generate countless questions in regard to the processes involved in the formation of identity. I researched several factors, including gender, intersexuality, and class status because, according to the literature, these three factors significantly influence self-identity formation.

## Gender Identity and Dichotomization

Modern U.S. society organizes itself under the conviction of a natural gender and sex dichotomy, in which “woman” describes a female and “man” describes a male. In other words, U.S. ideology holds that “opposite” sexes should behave in opposite ways to one another. Men should act competitive, unemotional, and career-oriented under cultural expectations. On the other hand, society pushes women to behave cooperatively, emotionally, and home-focused to name a few. The term “sex” refers to the anatomical characteristics of a person, whereas gender describes and often sets the guidelines for how a person behaves, thinks, feels, and essentially exists in society (Andersen, 2006). In U.S. culture, essentialist claims on the biological givens of men and women dominate ideas surrounding gender. This argument has been used since Sigmund Freud’s time and beyond to explain, and justify, the status quo (Newman, 2007).

One cannot fully understand gender identity without taking into account that not all people “do gender” according to hegemonic ideals; that is, not all people display gender stereotypic behavior. West and Zimmerman (1987) describe gender identity as a person’s relationship to gender as a result of hierarchical arrangements enforced by social institutions. For instance, Spade (2000) describes the profound effect classroom settings have on creating gender differences and inequalities. Teachers’ stereotypical expectations, based on a multitude of factors including sex, class, race, and other variables, impact a child’s self-perception. Under this framework, gender does not naturally occur, but purposefully happens based on a system that rewards stereotypical behavior and the dichotomization of the sexes on both physical and psychological levels. Nonetheless, while many people have incentives for participating in the current gendered system, some choose to deviate. I argue that a person may not choose the “path of least resistance,” due to critical engagement with the environment in which a person negotiates her or his identity (Johnson, 1997).

One important question that I wish to address surrounds the motivation behind the enforcement of a sex and gender dichotomy. While the cultural conviction of two sexes dominates mainstream notions of sex, intersexuality, or people born neither male or female, has existed since recorded time (Newman, 2007). Interestingly enough, when the equation of sex-equals-gender gets challenged by the existence of intersexed infants, essentialist beliefs of gender (that gender results from sex) get replaced by social constructivist ones (social forces create gender). Kessler (1990)

reports compelling findings on how the medical establishment supports the sex-assignment of intersexed infants not because of any medical necessity by and large, but on the cultural demands of a society that only accepts two sexes. Physicians, who specialize in infant sex-assignment surgery, often used research done in the 1950's by Mooney and his coworkers (Kessler, 1990). Based on this outdated information, experts believe that the sooner the child receives sex-assignment for their "abnormalities," the easier their gender socialization process will be and the better social adjustment s/he will have. As a result, physicians often give a sex diagnosis before collecting sufficient evidence on the child's anatomical structure (Kessler, 1990). In other words, physicians often decide how they are going to assign the intersexed infant prior to learning about the child's anatomic structure, because they believe that the gender socialization process is so crucial to the proper formation of gender identity. In order for parents to begin socializing their children into boys or girls, physicians prematurely tell parents what the "natural" sex of the child is.

Physicians often refer to these sex "ambiguous" infants as having a combination of both sexes, rather than being of another category (Newman, 2007, pp. 28). In addition, physicians often describe intersexed infants as not fully developed males or females, who will become a complete person only through sex-assignment surgery. This articulation and interpretation of sex helps legitimize the sex-assignment practice, as well as the biological deterministic (and misinformed) understanding of gender. Perhaps in this view of intersexed infants as abnormal beings, lies the mediator in contradictory attitudes, in which essentialism describes "normal" sexed infants and social constructivism explains the experiences of intersexed infants. I conclude, then, that people's interest in maintaining or changing the status quo affects which side of the nature versus nurture debate they will choose. It seems apparent to me that the motivation to maintain a gender and sex dichotomous society influence the way a person conceptualizes her or his thoughts. This gender and sex dichotomy sets men and women in opposition of each other. The effects are twofold: it serves the purposes of men who receive privilege at the expense of women, and it serves the purposes of the elites by protecting their privilege by promoting the division of the masses and thereby obstructing political mobility. Considering that the top 20 percent of households own over 80 percent of the nation's wealth, it seems reasonable to assert that certain efforts would purposefully have to be made for such an enormous imbalance of power to occur, as some of the professor interviews have made clear (Newman, 2007).



In reading Kessler's (1990) article, I found the deception employed by medical physicians quite alarming. Even more alarming involves the inconsistencies in the frameworks used to understand gender. In terms of intersexed infants, the interviewed physicians described gender identity as malleable. Yet, under convenient circumstances, such as that of "normal" sexed infants, essentialist arguments came back into focus. This leads me to conclude that the nature versus nurture debate has a political, subjective feature to it, based on the maintenance of power relations that unequally distribute rewards and resources to different groups of people within class and gender structures. It is particularly interesting that it was during the 1950's that Mooney and his colleagues described gender identity as malleable. Yet, paradoxically, it was also a time period in which cultural beliefs held that women belonged at home raising children, and if they were unhappy with this gender role, physicians offered them tranquilizers to "cure" their psychological problems (Friedan, 1997).

About 1.7% of babies are born intersexed according to Newman (2007), and yet they seem to remain invisible in contemporary society, as illustrated in this documentary. The medical establishment helps create a cloak of invisibility on the "ambiguous" sexes. Intersexed people defy the gender dichotomy, and therefore problematize essentialist arguments. As a result, the medical industry hides these individuals by medically reconstructing them, thus forcing them into the dichotomy. Newman (2007) emphasises that a number of intersexed infants who fall victim to sex-assignment surgery are now fighting back. Complaints include the intersexed infants' lack of choice in surgical matters, and a loss of sexual sensation due to the medical procedures that attempted to "normalize" them. These acts of protest highlight the myths that still guide the medical industry, as Dr. Brooke Campbell eloquently discusses in the documentary. Newman (2007) reported that physicians assign 90% of intersexed infants to the female sex. This has to do with both the greater ease of this type of sex-assignment surgery, and phallocentric ideologies of what characterizes a sufficient male (size of the penis) (Kessler, 1990). While physicians often persuade parents to subject their child to sex-assignment surgeries, in most cases a medical basis does not underlie its purpose. Instead, physicians describe the importance of sex dichotomization for the sake of the parents and society, who supposedly *need* gender cursors (such as male and female anatomy) to moderate "normal" social interactions.

**Identity, Group Dynamics, and Unequal Power Relations**

Institutions are not the only social forces at work in creating oppression along lines of gender. One question I have considered at great length involves why subordinate groups often accept their inferior positions. I will take the example of gender dominance and subordination to illustrate the psychological processes at work. While society has a tendency to homogenize women, men tend to push toward individuation. In other words, people more frequently view females as women, as part of a gender category, then men who society identifies as diverse, as humankind, or even mankind (Kimmel, 2004). I argue that both self-protective and self-enhancement mechanisms operate in the perceptual diversification of dominant groups. Because white men are generally privileged in social interactions, then the benefits that automatically come with this ascribed status may lead white men to view their superiority as not coming from their membership in a group, but from some unique quality about them. On the other hand, people who face discrimination regularly may want to seek protection by becoming invisible within a social group. Interestingly, Verkuyten and Nekuee (1999) found that people who highly identified with their social group, or were highly invested in their group, had a tendency to self-stereotype under threatening conditions. If self-stereotyping functions as a way of finding strength in numbers by forming group solidarity, then it makes sense that when subordinate groups challenge status differences the dominant groups, who have significant investments in their group status, self-stereotype.

However, while people may feel attracted to positive feedback from others, sometimes the desire to self-enhance gets overridden by the desire for self-verification (Swann, 1997). When subordinate groups internalize their sense of subordination, they may develop a tendency to seek negative appraisals to confirm this sense of inferiority. A person from a subordinate class position may have the potential, but not the confidence, willingness, or educational training to compete for high paying jobs. Therefore, an internalized sense of inferiority develops not only through peers, but through institutions that demand such submissions to the ruling class. However, this does not necessarily mean that all marginalized members of a social group will fail because society sets them up to. Critical consciousness can help an individual challenge and overcome the social obstacles they face. I do not wish to suggest that inherent intelligence will allow people to prevail, but rather opportunity structures (e.g. access to a college education) may provide people with the insight necessary to overcome significant hurdles.

Privileged groups have a seemingly different experience. I define privilege as an invisible unearned advantage over other social groups, which can cause serious barriers when privileged groups try to understand or even relate to marginalized people. The relationship between privilege and subordination is based on unequal power relations that privilege some at the expense of others (Johnson, 1997). For example, in the case of race, Newman (2007) asserts that people view white as “normal” and cultureless, an unmarked category (pp. 163-164). People even associate whiteness with the broader economy, if this does not provide compelling evidence of the power of privilege. White elite men hold the majority of the powerful positions in today’s U.S. society. White men, as a group, constitute this society’s standard of humankind. If people regard white men as the standard, as humankind, then it makes sense that white men tend to get identified as diverse. As support for Newman’s conclusion, Neimann, O’Connor, and McClorie (1998) found that black people view white men as more diverse than white people view black men.

I find it curious as to why white elite men constitute the social standard, from which all other groups supposedly deviate. One possibility the literature derived from on Social Darwinism, suggests that it is the “superior” people in society that succeed. But perhaps this ideology justifies the status quo more than it actually explains social reality. Newman (2007) describes two important psychological processes involved in the perpetuation of inequality enforced by the dominant group: feelings of distinctness and feelings of superiority. As stated prior, social categories serve to divide and rank groups of people. This seems purposefully done in many cases in an attempt by the wealthy to preserve their power, wealth, and prestige. Newman (2007) describes the relationship between prejudice and power relations among social groups. When the dominant group notices subordinate groups trying to gain access to more power, dominant groups react with an air of defensiveness and suspicion, and consequently more prejudice results. One psychological maneuver the wealthy employ has to do with enforcing the cultural practice of blaming people of lower status for the problems of society (Newman, 2007). Since society has this tendency of looking down at the less powerful in disdain, instead of up the ladder in anger and bitterness, the wealthy maintain a political climate necessary for maintaining their power and wealth.

### **Class Identity**

Research largely overlooks social class in the formation of identity. Still, I managed to find some data to shed some light on this understudied area. Aries and Seider (2007) found that students privileged along class lines placed more importance on class in the formation of identity than underprivileged students. Yet, privileged students reported structural factors as important to their success the least, compared to the other groups from less privileged backgrounds. The less privileged students from an elite, private university referred to as “Little Ivy” expressed the highest level of class identity exploration (or the contemplating on the meaning of class to identity), compared to the privileged “Little Ivy” and the less privileged state college students. Based off of the research from Hughes (2004), it seems reasonable to conclude that these less privileged “Little Ivy” students may have a greater inclination to explore how social class status impacts the self because these students experienced social mobility, and they could compare themselves to their privileged peers. This research shows how class and class identity have different meanings to people based on their own class position and the upward or downward mobility they have experienced in life.

Hughes (2004) describes reality as a process in which the individual acts as both teacher and student, in which other people continuously teach the self and the self continuously represents members of her or his social group. During social interaction, people negotiate their identities while still participating in systems of oppression. Part of this negotiation can be through “passing.” Passing requires a person to masquerade in a role that does not quite fit. One can view passing as an act of resistance, an effort to protect and preserve the original social identity. Passing protects the self by becoming invisible through achieving a socially desirable identity. As previously stated, group threat encourages people to self-stereotype for protection. In understanding gender and class identities, it is important to understand how self-stereotyping often reinforces hegemonic masculinity. I speculate that if a subordinate group experiences stereotype threat, not only does self-stereotyping occur, stereotyping the other party results as a way of projecting blame onto another. When the dominant group feels threatened by this, they self-stereotype as well and the cycle of stereotyping perpetuates itself. Thus, the perception of group differences and the way societal resources become allocated disproportionately to dominant groups creates a climate of competition, group identification, and consequently prejudice (Sherif, Harvey, White, Hood, & Sherif, 1961). One can see then, a connection in the way in which people organize society and distribute

resources with processes of identification. For these reasons, I find it very important to consider social class, in relation to gender, in examinations of identity formation.

### **Work and Motherhood in Identity Formation**

When women put their careers on hold to focus on their role as mother, they strongly disadvantage themselves by depending on a man and a relationship that over half the time ends in divorce based on today's divorce rates. Furthermore, institutional forces place women in subordinate economic positions next to men. Employers, regardless of the law, often discriminate against mothers in the employment process, and during wage negotiation. According to Cittenden (2001), the average woman loses about \$1,000,000 in a lifetime as a consequence of having children. In addition, women do not get paid monetarily for performing (Hochschild, 1989). Studies have shown that breadwinning women do more housework than their husbands (Hochschild, 1989). Still to this day, women on average earn 80 cents to a man's dollar (Newman, 2007, pp. 285). One of the fundamental ways society gives men value involves earning potential. Making money and class status relate to what society perceives as masculine. Women are perceived as homemakers and Men as bread winners regardless of their actual patterns of work. Men's socially enforced gender role as breadwinner encourages the pursuit of high career ambitions, whereas women's home-centered gender role places pressure on women to make compromises to their career in order to fulfill "motherly" responsibilities.

### **Methods and Materials**

I researched the topic of identity extensively in the psychological and sociological literature and have come to develop a firm conceptualization of identity through my own critical engagement with the research to date. For this project, I read as much as I could find regarding gender identity, class identity, factors involved in career choices, intersexuality, and other relevant topics. In addition, I searched through previous research in order to find the most suitable measures on gender identity, class identity, and career aspirations for my qualitative study. I decided to use the Identity Status Interview: Late Adolescent College Form because of its relevance and suitability for my study (Marcia & Archer, 1993). I made alterations to it, I omitted certain questions because I did not find them relevant to my research topic. I modified other questions, because I wanted to make the language clearer. The last section of my interview measure consists of questions I created specifically designed to explore social class identity, since it was not addressed at all in the form. The section on gender had questions such as,

“Do you feel that your gendered behaviors come naturally to you, or were there times when you felt conflicted by how you should act as a man or woman, and how you wanted to act?”

One of the most conversationally stimulating questions that I asked student interviewees, under the class identity section, was: “Should class differences exist between people at birth?” Most people agreed that ideally class differences should not exist between people at birth, yet most also insisted on the inevitability of this. In relation to class, I asked people about their vocational plans: “If money were not a factor, what career would you pursue?” Marriage was another subject of discussion, in which I asked questions like: “What are the advantages and disadvantages of marriage?” I had another section on “Parenting Plans,” because I believed that this topic would shed some light on the relationship between gender and career aspirations. “When do you think would be a good time for you to start parenting?” was a question that raised a variety of responses. The question in the “Family and Career Priorities” section, “Would you plan to take time off from work to have children?” produced many interesting responses. Although I had a diverse student sample, I did not collect a random sample so my findings cannot be generalized to the public. Despite the interviews in my study help facilitate an understanding of the impact of gender and class identities on career aspirations (see Appendix A for the entire questionnaire).

I interviewed ten undergraduate students, pursuing a variety of careers. Five males and five females under the age of 25 participated. I found it particularly difficult to find female education majors to participate in this documentary. After two interview cancellations, I finally found one who wanted to participate. I was persistent in finding a female education major because I wanted a diverse sample of people who held both traditional and nontraditional career aspirations. It was somewhat challenging to find participants to speak in this documentary, possibly because of the personal nature of the topic.

In addition to interviewing students, I asked several professors for the names of faculty members with expertise on my research topic. After sending out an email outlining my intentions for this project, I had a very high response rate from professors who took excitement in this project. Dr. Janice Stapley (Psychology), Dr. Joseph Patten (Political Science), Dr. Nancy Mezey (Sociology), Dr. Alan Foster (Sociology), Dr. William Mitchell (Anthropology), Dr. Mary Lou Killian (Social Work), Dr. RoseMary Barbera (Social Work), Dr. Dianna Shoemaker (Communication), Dr. Karen Schmelzkopf (Geography), Professor Brooke Campbell (Doctoral Fellow) all

spoke in this documentary. I asked questions such as, “What factors do you think are involved in the formation of identity,” and “Please describe any knowledge you may have on ‘social identity,’ and the group dynamics involved in its formation.” All of the professors had many interesting answers to my questions, which helped explain my findings as the documentary unfolded. (see Appendix B for Professor interview questions)

Finding willing research participants and expert speakers was only part of the work involved in making this documentary possible. Thanks to Dr. Mezey and the Instructional Media Center, I had access to Monmouth University video equipment. Student interviews typically lasted between 1 ½ to 2 hours in length, and professor interviews lasted anywhere between ½ an hour to an hour. Due to the extensiveness of this research, I had to use 19 video tapes and an external terabyte hard drive. I used Final Cut Express to edit this documentary, and the final project was burnt onto a DVD. I also have the capabilities of copying this project onto VHS if necessary. My knowledge of video producing and editing is self-taught, and I did not use the aid of a classroom setting for the technological aspect of this project.

### **Discussion**

This documentary brought many interesting perspectives together. I had a variety of professors and students from different backgrounds. I learned from my self-selected sample that qualitative research lends itself more readily than quantitative research to understanding class identity. Researchers need to explore the area of class with great scrutiny and care, and determine how best to understand the complexities and nuances that exist within social class as a central organizing principle, as well as a personal and group identity. Students have contradictory views on class, as I heard from the research participants in my study. For instance, while virtually all participants believed class differences should not exist between people, I often heard that it must remain this way. Yet students had trouble supporting the reasoning behind the latter belief. Other internal conflicts in regard to class became apparent. Some students who felt privileged questioned how deserving they were of their class status. Yet, if they could have chosen the class that they were born into, they stated that they would remain in the same one. One professor described how her class identity differed from other people’s perceptions of her class identity. One student participant, who later withdrew from participation, had a different class identity than what matched her socioeconomic status. She viewed people of her upper-class position as “stuck up.” This, and because during adolescence she grew up as middle-class, caused her to maintain her middle class identity.

My sample did not appear to consist of many people who held traditional gender roles. Most had egalitarian points of view, and some I would even describe as transgender, even though they did not self-identify as such. Regardless of their views, many made some very important points. One student expressed her concern over the divisiveness of today's gender roles. Male students seemed more willing than female participants to conclude that gender equality has been reached.

Another interesting finding involves how influential parents are in the career aspirations of students. Interviewees continuously expressed a "practical" approach to career decisions, inspired by their parents. One student expressed a firm desire to be an actress, but instead chose to go into teaching theater as her profession. Several students compromised their dreams, such as acting or modeling, for the sake of job security and financial stability. In the process, they found comfort and happiness in the career goals upon which they settled. I assert that students negotiate their career aspirations within the larger society to find something they can live with and live off of.

Professors and students alike had so many interesting points to make. This documentary surely brings important concepts to consider and reflect upon. It can serve as a great tool for classroom discussions on gender identity, social class identity, and career aspirations.



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## Appendix A

### **Identity Status Interview: Late Adolescent College Form**

#### **General Opening**

- Would you like to have your name indicated in this video? If so, what is your name?
- How old are you?
- For the record, can you please state your sex?
- Please describe your gender identity. Would you describe yourself as feminine, very feminine, masculine, very masculine, androgynous, or something else?
- Where are you from originally?
  - *If not specified:*
    - What is the city?
    - What is the zip code?
- In income compared to the rest of your neighborhood growing up, would you consider yourself below average, average, or above average?
- And where are you living right now?
  - *If not specified:*
    - What is the city?
    - What is the zip code?
- In income compared to the rest of your current neighborhood, would you consider yourself below average, average, or above average?
- How do you feel about living in \_\_\_\_\_?
- What type of family arrangement did you have growing up? (e.g. nuclear family, single parent household)
- Can you tell me something about the education background of *[the parental figures]* you grew up with?
- Can you tell me what careers *[he, she, they]* have?
- Do you have any brothers or sisters?
- *If yes, ask:* What are their ages?
- What have you done about continued schooling, work, and marriage since you left high school?
- *If married, inquire about the educational and employment background of the spouse, and the presence of children in the family.*

## Vocational Plans

- How did you come to decide on attending Monmouth University?
- What percentage of your college education are you financing?
- What percentage of your current financial expenses do you pay for?
- What year of school are you in now?
- What is your major?
- Do you have a minor?
  - *If yes, ask: What is it?*
- How did you come to decide on your field of study?
- What career do you plan on pursuing with your degree?
- When did you first become interested in \_\_\_\_\_?
- What do you find attractive about this field?
- What drawbacks do you see about this field?
- What would you like to do with your major after you graduate from college?
- Since you have been at college, have you thought about pursuing any other careers besides \_\_\_\_\_?
  - *If yes:*
    - What else have you considered?
    - When did you first become interested in \_\_\_\_\_?
    - What did you find attractive about \_\_\_\_\_?
    - What drawbacks did you see about this field?
    - Why did you decide not to pursue this field?
    - Was this a difficult decision to make?
    - What do you think influenced your decision?
    - *Repeat for each possible major mentioned.*
- How about when you were in high school- what was your thinking about your future vocational plans?
  - *For each field mentioned that has not been previously discussed:*
    - When did you first become interested in \_\_\_\_\_?
    - What did you find attractive about \_\_\_\_\_?
    - What drawbacks did you see about this field?
    - Why did you decide not to pursue this field?

- Was this a difficult decision to make?
  - What do you think influenced your decision?
  - *Repeat for all fields not previously discussed.*
- *If not already evident:* Was there ever a time when you were trying to decide between two very different directions for your life, in terms of the career you wished to pursue?
  - *If yes:*
    - What were your alternatives then?
    - Was that a difficult decision to make?
    - What influenced your decision here?
- Most parents have plans for their children, things they'd like to see them go into, things they'd like to see them do. Did your parents have any plans like that for you?
- Do you think your parents prefer one field over another, although they would never try to pressure you into any career?
- *If necessary:* How do your parents feel about your plans to go into [respondent's current career plans]?
- How willing do you think you would be to change your plans from [respondent's current career plans], if something better came along?
  - *If asked: "What do you mean by better?" Respond:* "Whatever might be better by your standards."
  - *If the respondent indicates the possibility of change, ask:*
    - What might you change to?
    - What might cause you to make such a change?
    - How likely do you think it is that you will make a career change?
- If money were not a factor, what career would you pursue?
- If you did not feel limited by your abilities, what career would you pursue?
  - *If different than current career goals:* What type of limitations do you have that prevent you from pursuing this career?
- If you were free to choose any career that you wanted without any restrictions, what career would you pursue?

- On a 7-point scale, how important is your career to you in your life, where 7 means “extremely important” and 1 means “not at all important”?

## Marriage and the Role of Spouse

- Do you plan to marry some day?
  - *If answered “yes,” ask:*
    - Why do you plan to marry?
    - When do you think would be a good time for you to marry?
    - Why then?
    - What kind of a person would you want to marry?
    - How do you picture what marriage would be like for you?
    - How do you picture your role as (*husband or wife*)?
  - *If answered “no,” ask:*
    - Have you ever thought about marriage?
    - Why do you prefer not to marry?
- What are the advantages and disadvantages of marriage?
- What are the advantages and disadvantages of being single?
- Has your decision on marriage come easily to you, or has it been a difficult decision to make?
- Why do you think it has been [easy or difficult]?
- How did you arrive at your decision on marriage?
- *If not already evident:* What has influenced your decision?
- *If applicable:*
  - How would you describe your [parent(s)’ or guardian(s)] marriage?
  - What do you think of the marriage your parents [have or had]?
  - Would you like your marriage to be similar to theirs?
- Would your [mother, father, and/or guardian] like to see you be married some day?
- How do you feel about that?
- *If applicable:*
  - As you think about the activities involved in marriage and your role as a [husband or wife], what would you

- say you anticipate to be most satisfying or rewarding for you?
- Is there anything about these activities that you anticipate will be a source of dissatisfaction for you?
  - Are you still working out your ideas on marriage, or do you feel like your opinions are well established?
    - *If still working out ideas, ask:*
      - What questions do you still have in regard to marriage?
      - What are you doing now to resolve these unanswered questions?
  - How willing are you to change your plans on marriage?
  - *If appropriate, ask:* What would it take for you to change your ideas on marriage?
  - Do you anticipate that you might reexamine your decision on marriage at some point in the future?
    - *If yes, ask:*
      - When? Why then?
      - What do you think might influence your decision?
  - On a 7-point scale, how important is marriage to you in your life? Again, 7 means “extremely important” and 1 means “not at all important.”

### The Role of Parent

- Do you plan to be a parent some day?
  - *If yes, ask:*
    - Why do you plan to be a parent?
    - When do you think would be a good time for you to start parenting?
    - Why then?
    - How do you picture your role as a parent?
    - What role do you think your spouse **should** have in parenting?
    - What role do you anticipate your spouse **would** have in parenting?
      - *If any difference is mentioned, ask:*  
Why is there a difference between the kind of parent you want your

spouse to be, and what you think  
your spouse will actually be?

- *If answered “no,” ask:*
  - Have you ever thought about parenting?
  - Why do you prefer not to parent?
- What are the advantages and disadvantages of parenting?
- What are the advantages and disadvantages of **not** parenting?
- Has your decision on parenting come easily to you, or has it been a difficult decision to make?
- Why?
- How have you arrived at your decision on parenting?
- *If not already evident:* What has influenced your decision?
- *If not already evident:* Have you ever gone through an important change in your thinking about parenting?
  - *If yes, ask:*
    - When did this change occur?
    - Please describe these changes.
    - What made you start to think about these questions?
    - Who may have been a factor in your thinking?
- How would you compare your ideas about parenting with those of your [mother, father, and/or guardian]?
- How would you describe your [mother, father, and/or guardian] thinking about parenting?
- What do you think about the parenting that you received growing up?
- Would you like your parenting to be similar to your [parent(s) or guardian(s)]?
- Would your [mother, father, and/or guardian] like to see you be a parent some day?
- How do you feel about that?
- *If applicable:*
  - As you think about the activities involved in parenting and your role as a [father or mother], what would you say you anticipate to be most satisfying or rewarding for you?
  - Is there anything about these activities that you anticipate will be a source of dissatisfaction for you?



- Are you still working out your ideas on parenting, or do you feel like your opinions are well established?
  - *If still working out ideas, ask:*
    - What questions do you still have in regard to parenting?
    - What are you doing now to resolve these unanswered questions?
- How willing are you to change your plans about parenting?
- Do you anticipate that you might reexamine your decision on parenting at some point in the future?
  - *If yes, ask:*
    - When? Why then?
    - What do you think might influence your decision?
- On a 7-point scale, how important is parenting to you in your life? Again, 7 means “extremely important” and 1 means “not at all important.”

### **Family and Career Priorities**

- Looking over your previous responses, I notice that you rated career \_\_\_\_\_ in importance, marriage \_\_\_\_\_, and parenting \_\_\_\_\_, which seems to suggest that you value [(\_\_\_\_\_*more*) or (*each area about equally*)]. How do you feel about that?
- *If applicable:*
  - What types of conflicts do you think could develop in your pursuit of a career and marriage?
  - What types of conflicts do you think could develop in your pursuit of a career and parenting?
- I would like for you to give me a timeline of how you are fitting your education, [employment, marriage, and/or parenting] into your life.
- *If applicable:*
  - I would like for you to examine your timeline on career and children closer. At what time relative to your education, career, and marriage would you like to have children?
  - How many children would you like to have?

- *If more than one:* How many years apart would they be?
  - Would you plan to take time off from work to have children?
    - *If yes, ask:*
      - For how long?
      - Would you reenter the work force between children?
      - How many years off of work would this add up to?
        - *If this is a considerable length of time, ask:*
          - Do you think it would be necessary for you to develop reentry skills in your profession to gain employment, such as
- *If intends to marry:*
  - What might be some additional conflicts that may arise in your marriage due to your career aspirations?
  - How would you try to resolve each of the conflicts that you have mentioned?
  - Have you ever gone through an important change in your thinking on marriage and career conflicts?
    - *If yes, ask:*
      - Please describe this change.
      - What made you start to think about these questions?
      - Who may have been a factor in your thinking?
  - How would you describe your [mother, father, and/or guardian] behavior over marital and career conflict?
  - How would you compare your ideas about handling such conflicts with those of your [mother, father, and/or guardian]?

- Did their decisions and approaches toward this conflict influence you at all?
  - *If yes, ask: How?*
- Would you like to handle marital and career conflict similarly to how your parents did?
- *If intends to parent:*
  - What might be some additional conflicts that may arise in your role as [father or mother] due to your career aspirations?
  - How would you try to resolve each of the conflicts that you have mentioned?
  - How often have you thought about parenting and career conflicts before?
  - Have you ever gone through an important change in your thinking on parenting and career conflicts?
    - *If yes, ask:*
      - Please describe this change.
      - What made you start to think about these questions?
      - Who may have been a factor in your thinking?
  - How would you describe your [mother's, father's, and/or guardian's] behavior over parenting and career conflicts?
  - Did their decisions and approaches toward this conflict influence you at all?
    - *If yes, ask: How?*
  - Would you like to handle parenting and career conflict similarly to how your [mother, father, and/or guardian] did?

### Sex-Role Attitudes

- What advantages and disadvantages do you see associated with the roles of men and women in today's society?
  - *If advantages and disadvantages are not addressed for **both** genders, ask about the other gender.*
- How do you think things **should** be in terms of what women are supposed to be like, and what men are supposed to be like?

- If you could have chosen to be a man or a woman in today's society, which would you be?
- Why?
- What are your feelings about transgender people?
- What are your feelings about transsexual people?
- As you think about your role as a [man or woman] in today's society, what would you say is most satisfying or rewarding for you?
- Is there anything about your gender role that you would consider a source of dissatisfaction?
- How would you describe your feelings related to any behaviors you adopt as a result of your gender?
- Why do you think you feel that way?
- How did you come to learn what it means to be a [man or woman] in today's society?
- Do you feel that your gendered behaviors come naturally to you, or were there times when you felt conflicted by how you should act as a [man or woman], and how you wanted to act?
  - *If there is a conflict:*
    - Can you please elaborate on this conflict more?
    - How have you gone about working out what you should do as a [man or woman] versus what you want to do?
    - Who may have been a factor in your thinking at the time?
- Was there ever a time when you came to question, to doubt, or perhaps to change your ideas, expectations, and/or behavior about your roles as a [woman or man] in this society?
  - *If answered "yes," ask:*
    - What types of things did you question or change?
    - What made you start to think about these questions?
    - *If not already evident:* How old were you at the time?
    - How serious were these questions for you?

- Do you feel that you've resolved these questions for yourself, or are you still working on them?
    - *If resolved:* What has helped you to answer these questions?
    - *If not resolved:* How are you going about trying to find answers to these questions?
- How has your [mother, father, and/or guardian(s)] expressed their gender roles?
- *If same sex parent or guardian is present:* Are there any important similarities and/or differences between the ideas, expectations, and behaviors with which you and your [father or mother] express the role of a [man or woman] in today's society?
- How are your ideas, expectations, and behaviors in this area influenced by your [parent(s) or guardian(s)]?
- How do your [parent(s) or guardian(s)] feel about your ideas, expectations, and behaviors on your role as a [man or woman] in today's society?
  - *If parents don't know:* How do you think they would feel about this if they did know.
- *If has siblings:*
  - How [have your siblings, OR how has your (brother or sister)] effected your ideas, expectations, and behaviors in regard to gender?
  - Are there any important differences between your ideas, expectations, and behaviors on gender roles and theirs?
- Do you think your ideas about gender roles will remain stable, or is it possible it may change in the future?
  - *If ideas may change:*
    - In what direction might your ideas change?
    - What do you think might cause such a change?
    - How likely is it that such a change might occur?
  - *If you see evidence of continued thought being given to these questions:*

- How important is it for you to work out your ideas on this topic?
  - Are you actively trying to work out your beliefs, expectations, and/or behaviors now, or are you more concerned with other things?
- On a 7-point scale, how important have the beliefs, expectations, and behaviors related to your gender become in effecting your life? Again, 7 means “extremely important” and 1 means “not at all important.”


### Social Stratification

- What class are you in: working class, middle class, upper middle class, or upper class?
- How did you come to this conclusion?
- On a 7-point scale, how much do you have to worry about money, with 7 being “extremely,” and 1 being “not at all.”
- What advantages and disadvantages do you see associated with individuals born into upper class positions?
- What advantages and disadvantages do you see associated with individuals born into less privileged class positions?
- Should class differences exist between people at birth?
  - *If class differences should exist at all:*
    - Why?
    - To what extent should there be difference?
    - How should economic differences be measured?
- Should class differences exist between people later on in life?
  - *If class differences should exist at all:*
    - Why?
    - To what extent should there be difference?
    - How should economic differences be measured?
- Should there be minimum wage laws?
  - *If so, ask:* Should current minimum wage decrease, stay the same, or increase for the state of New Jersey?
- Should **maximum** wage laws exist?
  - *If not, ask:*
    - Who do you think determines how money is appropriated to people?
    - Who do you think **should** determine how wages are set?

- *If yes, ask:* How do you think this should be measured?
- If you could have chosen to be born wealthy or poor in today's society, which would you be?
- Why?
- Are you satisfied or dissatisfied with the class position you were born into, and why?
- Do you have privilege?
- How did you come to this conclusion?
- Have you noticed yourself behaving in a certain ways in order to fit in with the people around you?
  - *If yes, ask:* In what ways is your behavior affected by those around you?
  - Do people in different classes behave differently at all or do they act the same?
    - *If yes, ask:* Has any of your behavior been influenced by your class position?
    - *If yes, ask:* How?
- How did you come to understand class difference?
- Did you ever feel inclined to hide your class position to others?
  - *If yes, ask:*
    - Why?
    - In what ways?
- Do you believe you will have to act differently to others as you move up the class ladder?
  - *If yes, ask:* How so?
- How do you feel about class differences?
- How do you feel about your class position?
- Has there ever been a time when you came to question how deserving you were of your class position?
- If acquiring wealth came at the expense of others, would you still pursue upward mobility?
- What does wealth mean to you?
- What does middle class mean to you?
- What does poverty mean to you?
- Why are people wealthy?
- Why are people poor?
- *If a believer in inequality*

- Do you believe some people should be wealthy because of their natural-born superiority, or do you believe other reasons exist?
  - *If other reasons exist:* Please explain what other reasons you think exist.
- Do you believe some people should be poor because of their natural-born deficiencies, or do you believe other reasons exist?
  - *If other reasons exist:* Please explain what other reasons you think exist.
- What is the American Dream?
- Do you believe in it?
- How realistic is it to reach the American Dream?
- *If a believer:* Do you believe you will achieve this goal?
- *If applicable:* If you were born from poverty, do you still believe it is possible to attain this goal?
- How has your [mother, father, and/or guardian(s)] expressed their class status? Do they make it apparent to the public, or do they make it less obvious?
- How similar or different are your ideas about class to your [mother's, father's, and/or guardian(s)]?
- Have your [parent(s) or guardian(s)] affected your ideas on class at all?
  - *If yes:* How have they affected your ideas?
- How do your [parent(s) or guardian(s)] feel about your ideas on class?
  - *If parents don't know:* How do you think they would feel about your ideas if they did know.
- How often do you think about your class position?
- What thoughts come to mind on the topic of class status?
- Do you think your ideas about class will remain stable, or is it possible it may change in the future?
  - *If ideas may change:*
    - In what direction might your ideas change?
    - What do you think might cause such a change?
    - How likely is it that such a change might occur?
  - *If you see evidence of continued thought being given to these questions:*



- 
- How important is it for you to work out your ideas on this topic?
    - Are you actively trying to work out your ideas now, or are you concerned with other things?
  - On a 7-point scale, how important has your class position become in affecting your life? Again, 7 means “extremely important” and 1 means “not at all important.”

### Appendix B

- What factors do you think are involved in the formation of identity?
- To what extent do you think a person has control over her or his identity? To what extent do you believe it is socially produced? Whether you believe identity is produced internally, or that it is a social construction, please qualify your position.
- Please describe the concept of social roles and any relationship it has to identity (people as “social actors”).
- How important do you think social categories are in shaping identity?
- Please describe any knowledge you may have on “social identity,” and the group dynamics involved in its formation.
- Please describe the role of stereotypes in the formation of identity.
- How does the concept of the “self-fulfilling prophecy” explain the relationship between stereotypes to identity, and consequently the media (which is saturated in stereotypes) to identity?
- What impact do you believe the media has on the formation of identity?
- Do you think the media is a significant socializing agent?
- Please describe the role privilege plays in the ability to reach self-actualization. Or please explain how privilege allows people freedom in terms of their identity (and their freedom to individuate).
- To what extent do you think identity impacts life paths? In addition, and more specifically, to what extent do you believe identity impacts career aspirations?

**When Two Become One:  
A Study of the Androgynous Symbolism  
and the Empowerment of Women  
in Virginia Woolf's Orlando**

**Brittany Scott**

**Introduction:**

Though she has passed, Virginia Woolf continues to live through her vast literary contributions. Through these she remains an active participant in the feminist movement as her writing is a first-hand account of the social injustices of the late 19<sup>th</sup> and early 20<sup>th</sup> centuries. Especially these related to London's male dominated society. Many of her novels center on conflicted female characters attempting to resolve the disparity between oppressive external forces and their ambitious internal desires. From this manifests Woolf's hope for gender-equality, or perhaps moving closer towards what she considers to be a utopian society. Woolf proposes that this is only possible when both genders are able to adopt an androgynous state of mind, which Esther Sanchez-Pardo Gonzalez defines as being "resonant and porous, that it transmits emotion without impediment, that it is naturally creative, incandescent and undivided" (77). This is easier said than done considering that her audience is the ultra rigid, conservative, and homophobic London society. Woolf is able to attack this issue by abstaining from an outspoken soapbox or preacher approach, and rather quietly infusing these theories into her writing in order to enter the realm of her readers', and thus society's unconscious thought. In other words, "the readers have to engage themselves and to cooperate imaginatively in the production of meaning" (Thompson 2). In this paper, I propose that Woolf creates her own brand of androgynous symbolism empowering women, and I will prove such by critically analyzing the images and symbolism in her novel Orlando as well as the array of works that aid this argument and unveil many issues that are perhaps overlooked or unnoticed.

As a member of the Bloomsbury Group, Woolf was influenced by her contact and conversations with this fraternity of liberal tongue-in-cheek intellectuals and artists who shared in her concern for revolutionizing London society. Together these individuals valued such things as friendship, empathy, art, gender-bending, and sexual experimentation. She was also influenced by the political and social events that were unfolding around her,

such as modernization, World War I, and the meltdown of the aristocracy and rise of the middle class. Such events and the way in which they affected Woolf both privately and publicly were particularly influential in shaping Woolf's writing and her career as a writer.

Woolf's writing tends to critically examine aspects of society. She delves into what Dr. Jaime Hovey years later termed "Englishness as a Masquerade" (Hovey 393). Hovey questions why individuals are quick to identify themselves according to their nationality yet fear being identified by their sexual prowess:

Given the extent to which ideologies of national inclusion depend on equating gender with performance of heterosexual respectability and equating national affiliation with notions of racial belonging, one might conclude that gender and nationality can operate as essentializing ideologies of identity only if sexuality and race remain nationality's half-hidden or forgotten others. (Hovey 393)

Prior to World War I, British Imperialism reined. Women were expected to exude a "morally upright" persona (Hovey 394). However, with the war the social and political arenas of this intensely conservative country were at last challenged resulting in a reinvention of attitudes. Thanks to national efforts homosexuality was finally brought to the forefront: "*Orlando's* exploration of queer white female sexuality can thereby be seen as firmly anchored in the national and racial concerns of 1920s England" (Hovey 394). Of course this feat was not easily achieved as riots and strikes erupted in support of and against homosexuality. This struggle for sexual acceptance is one manifestation of the regard for gender equality. The mindset in Imperial Britain was that a woman was in need of a man; whereas, lesbianism presented the possibility that two women could not only maintain a meaningful physical and emotional relationship, but also support themselves while doing so.

Woolf approached these issues through her novel Orlando in which she draws the reader's attention to the particular issue in hopes of enticing the reader to find his or her own solution. These critical examinations lie buried within highly complex characters.

"She was really attempting to describe people's relationships. Not in the way that they talked to each other, or behaved to each other, but what they didn't say to each other-what was in their minds. It was

the method that has become known as the stream of consciousness, the body language without the body.” (Cummings)

A character’s features, such as personality and physical appearance, in partnership with outside forces, such as interactions with other characters, and inanimate objects, together form the reader’s perception and interpretation of the novel overall.

Susan Dick, author of *“What fools we were!”: Virginia Woolf’s “A Society,”* has researched how significant historical events inspired Woolf’s artistry. According to her findings....

In all of [Woolf’s] subsequent explorations into the lives of women, whether obscure or not, fictional or real, Woolf will always place them within the historical and cultural context which shapes their lives and which, through the course of the narrative, most come to see more clearly. (Dick 52)

Despite differences in historical context, there still exist commonalities amongst many of Woolf’s characters. Those who appear in her earlier novels seem to share many qualities of later characters suggesting that with time these characters have developed and matured. For instance, the characters in Night and Day (one of Woolf’s earliest publications) possess characteristics of the protagonist in Orlando. Similarly, it is possible to draw some insight in to Orlando by way of such works as Mrs. Dalloway, A Room of One’s Own, and To the Lighthouse.

Along with Virginia Woolf’s novels, her collections of short stories are as equally valuable as they are rich in character foils and androgynous symbolism. These stories are merely compacted compilations of her thoughts, in which exist a sense of detail that is overshadowed by larger plots. When condensed the focus of the text becomes alarmingly obvious. This is exemplified in The Complete Shorter Fiction of Virginia Woolf, edited by Susan Dick. Here the majority of Woolf’s shorter fictional tales are presented in one volume. This captivating assortment of previously unpublished material showcase Woolf’s genius as a writer and social advocate. The entire collection spans over thirty-five years, thus serving as a great indicator of the development of Woolf’s creativity and inspiration.

“Phyllis and Rosamond” is the first short story featured in the collection. This editorial choice is quite bold. Susan Dick acknowledges this editorial decision in *“What fools we were!”: Virginia Woolf’s “A Society”*:

In the opening paragraphs of “Phyllis and Rosamond” (an early story which Woolf never published), the narrator presents herself as cultural historian. “We intend to look as steadily as we can,” she writes, “at a little group, which lives at this moment (the 20<sup>th</sup> June, 1906); and seems for some reasons which we will give to epitomize the qualities of many.” The two “obscure” young women who “are condemned to be what in the slang of the century is called ‘ the daughters at home,’ “give her “excellent material” for her “enquiry” into the lives of women whose stories have not yet, she believes, been adequately told (CSF, pp.17-18) (Dick 52)

Thus, the short story begins with the following paragraph...

Let each man, I heard it said the other day, write down the details of a day’s work; posterity will be as glad of the catalogue as we should be if we had such a record of how the door keeper at the Globe, and the man who kept the Park gates passed Saturday March 18<sup>th</sup> in the year of our Lord 1568. (Woolf, The complete shorter fiction of Virginia Woolf 18)

This foreshadows the tone throughout the entire collection, and thus her writing. The editor is clearly focusing on the importance of details, and doing so through the words of Woolf herself. If readers examine the details within the work they will uncover the true worth of her words, and how profound her views are concerning feminism and androgynous glory. Woolf continues in the following paragraph to directly address her disagreement with the overbearing male gender:

And as such portraits as we have are almost invariably of the male sex, who strut more prominently across the stage, it seems worthwhile to take as model one of those many women who cluster in the shade. For a study of history and biography convinces any right minded person that these obscure figures occupy a place not unlike that of the showman’s hand in the dance of the marionettes; and the finger is laid upon the heart. It is true that our simple eyes believed for many ages that the figures danced of their own accord, and cut what steps they chose; and the partial light which novelists and historians have begun to cast upon that dark and crowded place behind the scenes has done little as yet but show us how many wires

there are, held in obscure hands, upon whose jerk or twist the whole figure of the dance depends. (Woolf 18)

The focus of my research lies within this paragraph, which illustrates the many points I will touch upon within this paper. Woolf herself deems the above statement as “the preface,” the core to her plight. The male population has been granted a “stage,” on which they are at the center of attention; whereas women are left hidden within the shade. Here is presented a contrast between light and dark that creates shadows- this androgynous symbolism appears throughout almost all of Woolf’s novels. Yet, it appears that women are in control of their own lives. The same could be said of a passerby of any of the characters in Woolf’s novels. For example, if one were to see Mrs. Dalloway on the street she may seem to be a confident and determined young woman. She has a party to prepare for, knows exactly what she needs, and moves from place to place without any indecision. However, in truth she is extremely unstable as readers will learn once viewing the same moment only through her perspective. Mrs. Dalloway, as are other of Woolf’s characters who are women, is a “marionette.” At first glance she looks like she is in control of her own movements when in reality there are invisible strings that not only restrain but direct all of the marionette’s actions. It is Woolf’s desire to take the spotlight off of the men and redirect it towards these illuminating strings through her eloquent use of language, as she succeeds in accomplishing within her novel Orlando.

Orlando was first published in 1928. It is most noted for its semi-biographical content pertaining to Woolf’s personal life and perhaps romantic relationship with Vita Sackville-West. For this reason it “is perhaps the most neglected of Woolf’s novels” (Cervetti 171). Nicola Thompson even goes as far as to suggest that it enters “the genre of the anti-novel” (2). But, my paper does not focus on this relationship, but rather how the text stands as its own entity, as corroborated by Nancy Cervetti who believes that in: lifting *Orlando* out of the particulars of Woolf’s life – refusing to talk about it in those terms – allows other aspects of this versatile and contraband text to materialize, revealing *Orlando*’s revolutionary view of gender, identity, and the body and the way in which critical response has tended to quell the rebellion. (165)

By rebellion, Cervetti is referring to the time period in which Woolf is writing wherein homosexuality was a social taboo within the realm of the homophobic English society. “Radclyffe Hall’s *The Well of Loneliness*, the

infamous lesbian novel [was] published and banned” for its overt portrayal of homosexuality (Smith 60). Woolf’s unique stylistic blend of fiction and fantasy, on the other hand allows her to pioneer similar controversial ideas while avoiding criticism.

To begin, I will explore some of the significant metaphors implicit within both the plot and its prominent characters. The novel follows the title character Orlando on a journey towards self-discovery that spans over the course of four centuries. All the while, Orlando shifts multiple times between being of the male and female gender. The transition happens seamlessly in a way that appears almost magical. For this reason, I was never under the assumption that Orlando was meant to be perceived as a transvestite. “She never [feels or] suggests ‘a woman trapped in a man’s body’ or ‘a man trapped in the body of a woman’” (Cervetti, 166). Woolf accomplishes this by expressing these radical physical metamorphoses in a manner that is subtle, modest, and casual, leaving Orlando’s “sexual identity [to be] assumed in language” (173):

The change seemed to have been accomplished painlessly and completely and in such a way that Orlando herself showed no surprise at it. Many people, taking this into account, and holding that such a change of sex is against nature have been at great pains to prove (1) that Orlando had always been a woman, (2) that Orlando is at the moment a man. Let biologists and psychologists determine. It is enough for us to state the simple fact; Orlando was a man till the age of thirty; when he became a woman and has remained so ever since. (Woolf, Orlando 103).

Furthermore, I perceive this physical alteration as empowering woman. Orlando converts from a male to a female, rather than vice versa. Therefore, it is the female gender that provides the source of transformative power. Once Orlando adopts a female’s perception he may embark on his quest towards attaining the androgynous state of mind.

However, whichever gender Orlando portrays physically may not match who Orlando is psychologically. Here, Woolf plays upon the inevitable battle amongst internal and external beings, from which Orlando becomes increasingly aware that each gender has its own benefits, and begins to take advantage of this flexibility of gender for personal advancement. Cervetti concludes that, “When Orlando wants something... she plays the parts of ‘man’ or ‘woman’ well, knowing how to make her body legible in either language.” (168). I interpret Woolf’s belief that androgyny is of the mind not



the body, for the body can easily be manipulated. And Woolf is not interested in the physical being, rather she is concerned with the re-construction of the psychological being. Although I do not feel as though physical alterations may indicate androgyny, I do believe that they can cause psychological transformations.

As Orlando undergoes these transformations he/she must continually adjust and find a sense of harmony between physical and emotional being. In many ways this mirrors a character in Woolf's novel Night and Day. The premise of this story revolves around Katherine and her journey towards self-discovery; she is particularly preoccupied with marriage, and constantly questions whether it is possible for marriage and love to coexist. If so do women surrender and become condemned to the shackles of matrimony: "It's no good being married unless you submit to your husband" (Woolf 177)? It may be for better or worse, but at what cost? Woolf may be arguing that marriage strips women of their integrity and substitutes a false hope for achieving some sort of gender equality. Katherine shows the potential to be successful in her own right; in fact, in many ways Katherine appears to be androgynous. She prevails in mathematics and her thoughts tend to be more abstract like that of a male. Katherine describes herself as "not domestic, or very practical or sensible, really. And if I could calculate things, and use a telescope, and have to work out figures, and know to a fraction where I was wrong, I should be perfectly happy..." (Woolf 163).

Woolf develops this theme further with the character of Orlando, where Orlando's physical appearance is literally altered. It is easiest to manipulate the physical being by altering the clothing one wears: "Clothing not only impedes movement but alters the pliancy of the muscles – that is, alters the physical body" (Cervetti 169). Therefore, clothing itself plays a large role in conforming the psyche:

"The change of clothes had, some philosophers will say, much to do with it. Vain trifles as they seem, clothes have, they say, more important offices than merely to keep us warm. They change our view of the world and the world's view of us." (Woolf, Orlando 138)

Clothing is another form of self-expression, in the sense that the way one dresses reflects the perception he or she wishes to exude. Perhaps this is Woolf's intention behind using clothing as a form of androgynous symbolism. For instance, the novel begins in the 16<sup>th</sup> century when the style of dress for males was quite feminine:

He tore up the winding staircase. He reached his room. He tossed his stockings to one side of the room, his jerkin to the other. He dipped his head. He scoured his hands. He pared his finger nails. With no more than six inches of looking-glass and a pair of old candles to help him, he had thrust on crimson breeches, lace collar, waistcoat of taffeta, and shoes with rosettes on them as big as double dahlias in less than ten minutes by the stable clock. (16)

It is significant that Woolf chooses to introduce Orlando during a time period when it is socially acceptable for men to wear stockings and clothing decorated with such things as lace, taffeta, and flowers. By injecting such ambiguity so early in the text it almost immediately establishes what I deem to be the androgynous tone of the novel.

The Queen is first drawn to Orlando for his feminine physical features:

Orlando, to look at, was cut out precisely for some such career. The red of the cheeks was covered with peach down; the down on the lips was only a little thicker than the down on the cheeks. The lips themselves were short and slightly drawn back over teeth of an exquisite and almond whiteness. Nothing disturbed the arrowy nose in its short, tense flight; the hair was dark, the ears small, and fitted closely to the head. But, alas, that these catalogues of youthful beauty cannot end without mentioning forehead and eyes. Alas, that people are seldom born devoid of all three; for directly we glance at Orlando standing by the window, we must admit that he had eyes like drenched violets, so large that the water seemed to have brimmed in them and widened them; and a brow like the swelling of a marble dome pressed between the two blank medallions which were his temples. (Woolf, 13)

If it were not for the few pronouns in this quotation, it would be certain that Woolf was describing a female. The physical features she uses to personify Orlando create the image of a “youthful beauty,” rather than a rugged and handsome young male. This is quite foreshadowing and indicative of how Orlando’s physical appearance plays an integral role in interpreting the overarching purpose of the text: “So Orlando’s body may be altered by the sex change, but her gender change cannot be effected until clothing – that external social trapping – pressures her to conform with social expectations of gendered behavior.” (Burns, 351).

This is also an era when a woman reigns as head of the British government. Here, Queen Elizabeth is a realistic and historical example that women can

be and have been in a position of power, hence in control of men. In fact, Orlando owes his political success to the Queen, who appoints him treasurer and steward; therefore, Orlando is quite literally empowered by a woman. Ironically, although women were able to hold such a responsibility as running a country they were not granted the right to vote. In "Night and Day," Woolf assigns Mary Datchet as the character who is an advocate for women's rights. Mary Datchet is unquestionably a symbol of female empowerment. Her strength and determination are almost jarring as she is the novel's most outspoken character on this subject. Mary is who Katherine aspires to be, but she is thwarted by her own ambition to fulfill the status quo. Mary is loyal in her quest for equality, so much so that she makes severe sacrifices along the way, particularly concerning love. This is something that Katherine is unable to achieve because she is still a transitional character in terms of the androgynous form. In other words, in this novel Woolf shows us women who each seem to embody the progression towards the androgynous being. This begins with Katherine's completely disillusioned cousin Cassandra. Katherine is more indecisive. She wants the best of both worlds—to be married and to be independent. Finally, Mary takes the lead as the strong-willed and independent. This psychological state somewhat affects her physical appearance, very much like that of Orlando's:

"She was some twenty-five years of age, but looked older because she earned, or intended to earn, her own living, and had already lost the look of the irresponsible spectator, and taken on that of the private in the army of workers. Her gestures seemed to have a certain purpose; the muscles round eyes and lips were set rather firmly, as though the senses had undergone some discipline, and were held ready for a call on them. She had contracted two faint lines between her eyebrows, not from anxiety but from thought, and it was quite evident that all the feminine instincts of pleasing, soothing, and charming were crossed by others in no way peculiar to her sex." (Woolf, Night and Day p. 36)

Mary begins to appear hardened by the emotional turmoil that she suffers within. In Orlando this is taken a step further and Woolf pushes it to the extreme by converting Orlando to a different sex. Woolf also manipulates Orlando's physical appearance in a much more concrete and visual manner through a series of portraits that are randomly scattered throughout the novel. These images were personally selected by Woolf to represent particular aspects of the text. To examine this further, I will focus on the five images of

Orlando. These images are not only symbolic, but they also toy with the idea of fiction and reality in that they are actual photographs. And in doing so, I believe Woolf was indirectly asking the reader to consider whether the idea of the novel is fictional or real. Is Orlando, or androgyny, possible?

Therefore, these photographs are another form of Woolf's unique brand of androgynous symbolism. So, not only is Woolf using literature as a vehicle of expression, but she is also using art. Perhaps, this choice was influenced by her participation in the Bloomsbury Group, as discussed within the beginning of this paper. Literature may be difficult to interpret, and art can be ambiguous at times, but together they help to solidify one another by providing a well-rounded concept. For example, the portrait of *Orlando about the year 1840* (Woolf, Orlando 181), of Vita Sackville-West by Vanessa Bell and Duncan Grant, captures a haunting portrayal of what could be interpreted as an androgynous being. Although dressed in a woman's garments, the individual has the bone structure of a male with heavy sullen eyes, a distinguished nose, and thin lips. The individual is looking away from the photographer, which suggests a state of confusion or that the individual is contemplating something. This idea is supplemented by the manner in which the individual is physically situated sitting down, hunched over, resting chin on his or her hand. And, the bodice of the individual's outfit is adorned with flowers, which are generally associated with femininity; however, upon the lap there lies some sort of plaid covering, and plaid is typically symbolic of the male gender. The contrast of the floral and the plaid print further suggest androgyny. However, the fact that the floral print is situated above the plaid print may convey the superiority of women.

Also, the individual is wearing a pearl necklace. Cervetti suggests that the pearl necklace "functions as a sign of respectability, capable of overcoming other threatening signs and transforming suspicion and distrust into acceptance" (170). This is Orlando's desperate attempt to conform to a society that is driven by materialism. Pearls, associated with wealth, give the illusion that Orlando is of a respectable social status. This allows Orlando to gain social acceptance, as well as avoid the harassments of those who disapprove of Orlando's gender-bending ways. Free from criticism, Orlando may focus on personal growth and development. Therefore, I also interpret the pearl necklace as a badge of honor dignifying Orlando for the ability to maneuver through oppression and move onwards in achieving androgyny by way of a feminine object.

A similar situation arises once again when Orlando marries Shel. The marriage is quite impromptu, unexpected, and seems contradictory to

what Woolf is attempting to achieve in this novel. As discussed previously, during this time period marriage is a submission of power. Why would Orlando surrender to such a social injustice? Well, Shel is not any ordinary man; in fact, Shel is a woman bending gender, just like Orlando:

No sooner had the words left her mouth than an awful suspicion rushed into both their minds simultaneously.

“You’re a woman, Shel!” she cried.

“You’re a man, Orlando!” he cried. (Woolf, Orlando 184)

I believe that this relationship is successful because both individuals are androgynous, and therefore Shel and Orlando are of equal stature. It is because of this that the relationship does not necessitate a submission of power or gender for either individual.. It should be noted that Woolf does not introduce this relationship until the end of the novel wherein Orlando is fully developed as the androgynous being. It is this sense of self-assurance that creates the capability of loving another. It takes Orlando four centuries in order to accomplish this because the process of achieving the androgynous state of mind is difficult and complex. And, until then all other relationships are destined for failure.

For example, towards the beginning of the novel Orlando develops somewhat of a romantic relationship with Sasha, the Muscovite princess. But, it is her unidentifiable gender that Orlando is first attracted to:

...when he beheld, coming from the pavilion of the Muscovite Embassy, a figure, which, whether boy’s or woman’s, for the loose tunic and trousers of the Russian fashion served to disguise the sex, filled him with the highest curiosity... But these details were obscured by the extraordinary seductiveness which issued from the whole person. Images, metaphors, of the most extreme and extravagant twined and twisted in his mind. He called her a melon, a pineapple, an olive tree, an emerald, and a fox in the snow all in the space of three seconds; he did not know whether he had heard her, tasted her, seen her, or all three together. (28)

This is Orlando’s gut response and immediate reaction to Sasha. He finds her desirable and “seductive,” which leads me to believe that this is lust not love. He is only attracted to the illusion of androgyny, and is later disappointed when this perception is incorrect. Therefore, this relationship with Sasha is impossible. If he were to marry Sasha then Woolf would be reinforcing the

hierarchical relationship amongst man and wife, as I addressed previously. Instead, Sasha exemplifies the strong female who maintains the control in the relationship by leaving Orlando, which is quite uncharacteristic of this time period.

Ironically, this relationship occurs during the Great Frost, a mini ice age of sorts that covers London in a sheet of ice. During this time, the progress of the industrial society almost comes to a standstill and the community lives day-to-day taking pleasures in recreational activities. Orlando gets caught in the distractions of this chaotic atmosphere, and, like the ice, becomes static and motionless making no progress whatsoever towards becoming androgynous. It is not until the ice melts that Orlando is able to break out of this stasis and once again continue on his journey.

Through this it is also made alarmingly evident as to how constraining one's environment may be on the human psyche. In fact, I consider this to be a form of enslavement:

Still if it meant conventionality, meant slavery, meant deceit, meant denying her love, fettering her limbs, pursing her lips, and restraining her tongue, then she would turn about with the ship and set sail once more for the gipsies. (121)

Orlando begins to resent these feelings of oppression and seeks an escape. The gipsies introduce Orlando to an unconventional way of life and freedom from enslavement. Sabine French asserts that, "women were left with the choice to assimilate (marry and play their societal role) or to adapt as the Gypsies had by creating a suitable life for themselves on the periphery of society" (9). I agree, but I also believe that Orlando is attracted to this culture because it appears to be androgynous, in the sense that within a gypsy community the clothing of men and women are extremely similar: "Perhaps the Turkish trousers, which she had hitherto worn had done something to distract her thoughts; and the gipsy women, except in one or two important particulars, differ very little from the gipsy men" (Woolf, Orlando 113). However, this liberal and free-spirited community conflicts with the ultra conservative and traditional English society that Orlando is accustomed to. This is not a perfect fit, but what can be learned from Orlando's experience in this diverse culture is that there are many advantages to an androgynous

society, of which I believe Woolf is intentionally promoting by immersing Orlando in this community.

Orlando's return home is also significant in that Woolf is not abandoning London all together. It seems as though she is confident in the possibility for these improvements to occur, but at the same time is aware that this change must happen gradually:

Truth, come not out from your horrid den. Hide deeper, fearful Truth. For you flaunt in the brutal gaze of the sun things that were better unknown and undone; you unveil the shameful; the dark you make clear. Hide! Hide! Hide!' Here they make as if to cover Orlando with their draperies. The trumpets meanwhile, still blare forth: "The Truth and nothing but the Truth." (Woolf 101)

Thus, Woolf disguises Orlando in the "draperies" of modesty, purity, and chastity. These are the respective virtues that British woman are expected to uphold, key word being expected. They are not necessarily representative of the true self; rather, a façade created to mislead a highly judgmental community. This is also the purpose of the crinoline, a garment worn by woman that altered their physical appearance:

A crinoline... conceal[s] the fact; the great fact; the only fact; but, nevertheless, the deplorable fact; which every modest woman did her best to deny until denial was impossible; the fact that she was about to bear a child...so that most of a modest woman's life was spent, after all, in denying what, on one day at least of every year, was made obvious. (171)

A crinoline gives a woman the means to hide their true physical form as to not offend society. In this way it is extremely deceptive, much like that of modesty, purity, and chastity. Ironically, whereas these traits are meant to protect women they are actually quite oppressive. Woolf intends to break away from this mold created for women and shine light upon the truth. This interplay between light and dark also issues a sense of freedom versus imprisonment for women's self-expression. It is an intricate duality that continually appears throughout the novel. Here, light is a measure of truth. It is freeing for women. It removes them from the shadow of the male-dominated society that discourages women from any form of self-expression:

“Looking Mr. Pope full in the face, ‘It is equally vain,’ she thought, ‘for you to think you can protect me, or for me to think I can worship you. The light of truth beats upon us without shadow, and the light of truth is damnably unbecoming to us both.’” (151)

Woolf is adamant about proving that women are intellectual creatures. However, it would be “unbecoming” of a modest, pure, and chaste woman to be so driven or outspoken. This intrigued Woolf, and for this reason, she became particularly interested in the relationship between women and literature, and how this could actually become a vehicle for the empowerment of women. In fact, Woolf’s novel A Room of One’s Own is considered to be the “literary feminist bible” (Burns 344), in which Woolf attempts to uncover the truth about women and fiction:

“Woolf’s own activities included this rather formidable body of feminist work on the question of the intellectual status of women and this exchange gave way to a number of writings, finally A Room of One’s Own, which was her most thought out version of the relation of women to writing and the questions of fame.” (Cummings)

Woolf argues that women are unable to write because they lack the sufficient funds, time, and space necessary to do so. Yet, how does Woolf propose to alleviate this problem? Well, she never answers this question in the novel, yet leaves it to the readers to figure it out on their own.

This subject of women and writing is also addressed in Night and Day wherein the need for freedom and space is directly acknowledged: “The green-shaded lamp burnt in the corner and illumined books and pens and blotting paper. The whole aspect of the place started another train of thought and struck her as enviably free; in such a room one could work – one could have a life of one’s own.” (Woolf, Night and Day 229)

Woolf is imagining a physical space that will grant women the capacity to flourish intellectually and avoid the overbearing and detrimental influences of a male-dominated society. Women will then have the ability to diverge from the stereotypical role as the emotional being and compete with men in the business world and other endeavors. However, this is difficult to achieve when submerged within a society of men who fear such conquest. For instance, William, Katherine’s fiancé for a time being, discourages Katherine



from becoming too “learned” because it is an unattractive quality in women (Woolf, Night and Day 115). Perhaps this is why William ends up with Cassandra, Katherine’s cousin who has no interest in furthering herself intellectually and therefore does not present a threat.

However, I agree with Sanchez-Pardo Gonzalez that the “feminist quest” that Woolf has undertaken in A Room of One’s Own is not truly resolved until it is addressed in Orlando (84). Whether male or female, there is one thing that remains consistent and that is Orlando’s undying passion for literature. However, Orlando’s writing is at the mercy of society. And Woolf uses “the image of the wild goose to indicate the literary genius that always eludes Orlando’s abilities” (Smith 66):

But the goose flies too fast. I’ve seen it, here — there — there — England, Persia, Italy. Always it flies too fast out to sea and always I fling after it words likenets (here she flung her hand out) which shrivel as I’ve seen nets shrivel on deck with only sea-weed in them. And sometimes there’s an inch of silver — six words — in the bottom of the net. But never the great fish who lives in the coral groves. (313)

Orlando, the female, can never fully express herself. She is only able to get out a couple of words at a time, which is quite unproductive, and therefore, Orlando “is never able to grasp ‘the great fish’ of genius, of superb and original writing” (Smith 66).

The issue of time is also of great importance to Woolf, and is equally valuable as space. Woolf has a way of making the reader particularly attuned to the time frame of the novel. For one of Woolf’s signature traits as a writer is to show that a lot can happen within a short amount of time. A Room Of One’s Own is the best example of this. This novel arose from Woolf’s defense of the women’s intellect and capabilities against published remarks by Desmond McCarthy:

It seems to me indisputable that the conditions which make it possible for a Shakespeare to exist are that he shall have had predecessors in his art, shall make one of a group where art is freely discussed and practiced, and shall himself have the utmost of freedom of action and experience. Perhaps in Lesbos, but never since, have these conditions been the lot of women. (Dick 54)

This is the central argument within A Room of One's Own. This entire novel occurs within the space of a single day. Within this short period Clarissa Dalloway undergoes great psychological development. Woolf also shows how characters may develop over a large span of time. For instance, there is a break towards the end of To the Lighthouse wherein the novel picks up much later in time. This is quite like what happens in Orlando. Woolf manipulates time in Orlando to symbolize Orlando's maturation both psychologically and physically. This transformation does not happen overnight, but is painstakingly long and tedious as Orlando begins to discover his true identity throughout the novel. Instead Orlando is forced to sneak away and keep her writing hidden: "...when a shadow darkened the page. "She hastily hid her manuscript" (Woolf, Orlando 131). These "shadows" covering the page make it impossible for Orlando, the female, to write, just as society suffocates and deprives brilliant and creative women, like Shakespeare's sister in A Room of One's Own, from the opportunity to express oneself. It is not until the end of the novel wherein the androgynous Orlando is finally able to emerge from the shadow that once prevented her from writing, and finally attain literary success. It is because of such that "many scholars have argued that femininity is at last saved at the end of the narrative once Orlando becomes a woman, and gives voice to her poem" (Sanchez-Pardo Gonzalez 83). Perhaps this is best displayed by the following quotation:

The manuscript which reposed above her heart began shuffling and beating as if it were a living thing, and, what was still odder, and showed how find a sympathy was between them, Orlando, by inclining her head, could make out what it was that it was saying. It wanted to be read. It must be read. It would die in her bosom if it were not read. (200)

Orlando's breast, or femininity, nourishes the poem as it would a newborn infant. Furthermore, title of the manuscript, "The Oak Tree" is itself suggestive of the androgynous mind. For, "an Oak, growing from a Plant to a Tree, and then lopp'd is still the same Oak. He [Locke] resists the notion that any change of the body might have an effect on one's personal identity" (Burns 348). Orlando's physical being may change considerably, but the psychological being remains the same, Christy L. Burns refers to this as the "theory of the continuous spirit" (346). This suggests the unity of the male and female mind in that they are equally as capable, and perhaps better off

when one in the same. As Esther Sanchez-Pardo Gonzalez states, “opposites need each other to be meaningful” (83).

Thus, it is through androgyny that Orlando is able to capture “the great fish,” and is justified as an intellectual. And, in doing so Woolf displays her genius in bringing life to Orlando through the androgynous symbolism that she creates:

... [Orlando] also thematizes within the text how representation or, rather more particularly, how literary language finds itself at a loss. But like the melancholic’s recuperation of the lost object through constant speaking about it, the text offers a recuperation of the object while bemoaning the inadequacy of language. There are another a number of self-reflective examples in the text: the biographer’s professed inability to convey his subject, Orlando’s frustrated inability to describe Sasha, the failure of language to match Nature, the rendering of Orlando’s change into a woman as indescribable, and Shelmerdine and Orlando’s love which is described as inexpressible. However, despite words like “failure,” “inexpressible,” and “indescribable,” the objects and passions are nevertheless evoked. Using Woolf’s phrase “ransack the language,” we can envision what takes place over and over again in the novel. The original meaning of the word “ransack” is to search a house for stolen goods, and in the novel we find there is a constant search in and through the house of language for stolen goods – the “thing itself.” But those goods are never found, only what “the thing itself” has been encrusted with, so that when one strips away the barnacles, one finds nothing. One must concentrate on the barnacles then. (Smith 68)

Even though this concept of androgyny is at times vague and obscure, Woolf is able to simplify it by the language that she uses. “It is as if words might be the fabric that veils the truth” (Burns 357). Furthermore, she reinforces these images by using them time and time again, and in more than one occasion. This repetitious pattern may be Woolf’s uncanny attempt to solidify her argument. Nancy Cervitti agrees and supports “Judith Butler’s claim that gender identity is a stylized repetition of acts through the time, the novel demonstrates possibilities for gender transformation in the arbitrary relation of these acts and in their parodic repetitions” (168).

For instance, there exists numerous occasions of which Woolf refers to the color grey. Grey suggests the sense of ambiguity, as it is a mixture between

two distinctly different shades: white, the culmination of all colors, and black, the absence of any color. In the beginning of the novel Orlando appears covered in a grey cloak (Woolf, Orlando 22), and at the end, the color grey appears once again in Orlando's apparitions (222). Here, grey is manifesting itself in two forms, the physical and psychological. This also appears in Mrs. Dalloway, in the case of Peter Walsh. Peter is featured as an extremely emotional character. Peter, the lonely and desperate hopeless romantic, does not coincide with how males are typically portrayed. Women were always assumed to be stereotypically the emotional ones. In fact, Woolf describes Peter as:

"... his hair was grey, a contented look; a look of having reserves. It was this that made him attractive to women who liked the sense that he was not altogether male. There was something unusual about him, or something behind him." (Woolf, Mrs. Dalloway 156)

It is also interesting to note the reference to the color grey in this paragraph. In this case it is in direct reference to Peter's sexuality, not gender, but once again his sexuality. Shadows also represent the ambiguity similar to the use of the color grey:

"Here they reached the big lamp post at the corner of what is now Piccadilly Circus. The light blazed in her eyes, and she saw, besides some degraded creatures of her own sex, to wretched pigmies on a stark desert land. Both were naked, solitary, and defenseless. The one was powerless to help the other. Each had enough to do to look after itself. Looking Mr. Pope full in the face, 'It is equally vain,' she thought, 'for you to think you can protect me, or for me to think I can worship you. The light of truth beats upon us without shadow, and the light of truth is damnably unbecoming to us both.'" (Woolf, Orlando 151)

Orlando begs for acceptance for the androgynous being that she is. What is in plain view, or in the light, is undeniable, and Orlando is no longer willing to hide amongst the shadows. For Mr. Pope, or society, and Orlando it is impossible to continue this lie, and the androgynous being must prevail. Thus, the ambiguity inherent within the color grey perfectly parallels Orlando's transformation throughout the course of the novel as this interplay between light, darkness, and shadows issues a sense of freedom versus imprisonment for women's self-expression.

This also relates to Orlando's passion for literature. It is the only relationship that carries on throughout the entire novel, and is able to endure Orlando's gender transformations. Orlando looks to literature for self-fulfillment. As a male, he publishes volumes of works, yet is still unsatisfied, and shortly after his conversation with Nick Greene he abandons literature altogether. It is not until Orlando becomes a woman that he is once again able to return to writing; however, ironically she is unable to do so due to the social constraints upon woman during this time period. Orlando thus personifies Woolf's ideology in terms of gender and literature. Brilliant and capable women, like the fictional character referred to as Shakespeare's sister in A Room of One's Own, are unable to unveil their talents because they are deprived of the necessary resources. As a male, Orlando was granted privacy at will (82), Orlando the female was forced to sneak away and conceal her writing: "... when a shadow darkened the page. "She hastily hid her manuscript" (131). Here, the shadow construes an atmosphere that is not only limited, but also almost suffocating. It withholds a violent undertone as if she is being violently robbed of her creativity. Such is the point that Woolf is attesting to: society robs women of their creativity. The interior versus the exterior.

Nicola Thompson suggests that there exists "a pattern of reoccurring ideas in her essays, and the same essential themes scattered throughout the essays" as well (2). And, interior versus exterior is a theme that is the cornerstone to many of Woolf's works. It is most commonly portrayed through the metaphorical implications of the structures or buildings that quite literally create a physical barrier between the outside and inside. Thus, they best capture the distinction between public and private beings, or what is referred to in psychology as the social self and the private self. The most notable illustration of this is the window imagery that is featured in many of the novels. The window acts as a gateway between the interior and exterior. A window presents an air of opportunity. The open window provides freedom, whereas the closed window elicits a feeling of being trapped or restrained. In To the Lighthouse, Mrs. Ramsey finds comfort in sitting near the window. Ironically, this is where she goes to read; thus, Woolf is again creating this triangle amongst women, literature, and opportunity. Woolf even goes as far as to title the first section of the novel *The Window*, and in doing so is preparing the reader for what is the focus of the entire novel.

“She was like a bird for speed, an arrow for directness. She was willful; she was commanding (of course, Lily reminded herself, I am thinking of her relations with women, and I am much younger, an insignificant person, living off the Brompton Road). She opened bedroom windows. She shut doors.” (Woolf, To the Lighthouse 52)

Lily is the modern woman- complex and edgy. She, unlike Lucy Honeychurch, is yearning to be responsible for herself. This is also shown through her passion for her art. Lily’s art can be paralleled to Orlando’s writing in that it is a means of self-expression, and by shutting the door behind her, as in the above quotation, she is giving herself a space in which to create her art, just as Woolf speaks of having a room to one’s self to write:

“She could have wept. It was bad, it was infinitely bad! She could have done it differently of course; the colour could have been thinned and faded; the shapes entherealised; that was how Pounceforte would have seen it. But then she did not see it like that. She saw the colour burning on a framework of steel; the light of a butterfly’s wing lying upon the arches of a cathedral. Of all that only a few random marks scrawled upon the canvas remained. And it would never be seen; never be hung even, and there was Mr. Tansley whispering in her ear, “Women can’t paint, women can’t write...” (To the Lighthouse pg. 51)

Although art and literature are vehicles for self-expression, they can only stand as a representation of reality and not its true form. Art and literature are not autonomous; rather, they can only be used to persuade or educate others to follow the lead. Unfortunately, the constrictions on women were what Woolf and other women artists of the early 20<sup>th</sup> century must contend with on a daily basis in order to draw attention to what they were trying to convey through their art form. These difficulties further illustrate the separation between the public and private spheres: “However, the distinction between public and private is [as] difficult to maintain” (Smith 59), and Orlando is often left feeling conflicted. I believe this is the reason that Orlando descends into a self-inflicted state of isolation. Free from public scrutiny, Orlando is stripped of the exterior persona and what remains is Orlando in the truest form. This space is also facilitative of Orlando’s creativity wherein isolation Orlando is able to complete over twenty-five pieces of literature. Here, Woolf is suggesting that isolation nurtures genius, and this is perhaps why she is so

adamant that women have a room of their own to write. I believe she further solidifies this with the symbolism of the lighthouse:

Rather it [genius] resembles the lighthouse in its working, which sends one ray and then no more for a time; save that genius is much more capricious in its manifestations and may flash six or seven beams in quick succession... and then lapse into darkness for a year or forever. To steer by its beams is therefore impossible, and when the dark spell is on them men of genius are, it is said, much like other people. (Woolf, Orlando 152)

I interpret this as Woolf's critique of writing in that one may withhold the talent to write, but not always be free to exercise the ability. As discussed previously, Orlando, the woman, encounters difficulty writing because she lacks space. Here, Woolf toys with the value of space, and in doing so inadvertently inclines the reader to assume that if space is so artistically gratifying for a male, as seen with Richard Alardyce in Night and Day and with Mrs. Hilbery's father and Katherine's grandfather, then it could also be liberating for the female psyche. If Mrs. Hilbery and Katherine had a space of their own perhaps they may have been more successful in the completion of Richard Alardyce's biography. Andrea P. Zemgulys describes the study as a "tomb," insinuating a sense of stillness and immobility:

Fittingly, whenever Katherine works in her mother's (Mrs. Hilbery's) study, she cannot help but recollect "the cavernous glooms and sonorous echoes of the Abbey where her grandfather lay buried" (113) in Poet's Corner. Her mother's room is quite pointedly a tomb, a memorial to the grandfather (and the many other literary dead that pass through Mrs. Hilbery's mind). (Zemgulys 66)

Remnants of Richard Alardyce's energy still exist in the study. The space itself is still dominated by a male, and thus tainted.

Instead, women need a space that is truly theirs and cut-off from men. This is symbolized through the image of the lighthouse, which is literally isolated. The image of a lighthouse appears early on within one of her first novels, Night and Day:

"... an odd image came to his mind of a lighthouse besieged by the flying bodies of lost birds, who were dashed senseless, by the gale, against the glass. He had a strange sensation that he was both lighthouse and bird; he

was steadfast and brilliant; and at the same time he was whirled, with all other things, senseless against the glass.” (Night and Day p. 334)

Woolf glorifies this image of a lighthouse. The lighthouse, which is phallic-like in form, ideally captures the essence of the male-dominated society. A page later she continues and adds: “He did not see her in body; he seemed curiously to see her as a shape of light, the light itself; he seemed, simplified and exhausted as he was, to be like one of those lost birds fascinated by the lighthouse and held to the glass by the splendour of the blaze” (Woolf, Night and Day 335). Here Ralph is describing Katherine as he sees her through the window. Katherine, a woman, is not only a part of the lighthouse, but takes the place of the light, which serves as a primary function of the building. Woolf may be alluding to the fact that women, being the light, and men, being the actual physical building, are the most effective when the act together.

Later on in her career, Woolf wrote an entire book based upon this image of a lighthouse. To The Lighthouse is a novel in which a group of characters are alienated from the community. Here, young and naïve Lily, ventures on an artistic quest for truth, and accomplishes with the space provided by this remote location; thus, she is empowered by space: “Woman must have ‘a room of her own’ where she can lock herself in and concentrate, where she can purge herself of the ‘male’ society that seeks to constrain her voice and control her” (Burns 347).

Woolf is continually tampering with this idea of rooms and space. She concludes this triad by also focusing on and toying with the element of time. This is extremely revealing in terms of both the story and the characters. For this reason, Orlando’s manor house plays a particularly vital role in Orlando’s life. The manor house is Orlando’s safe haven from the chaotic outside world. But, it is more so the specific attributes of the house that are particularly symbolic. In the house there can be found 365 rooms and fifty-two staircases. Compare this to a calendar and find that in a year there are 365 days and fifty-two weeks. Thus, the house is actually representative of time. Time is nurturing of Orlando’s androgynous being and protects Orlando through this gradual process.

Thus, in turn the house is essentially empowering the feminine portion of Orlando. For this reason, it is imperative that Orlando keeps the public and



private spheres separate so that there is room for personal growth and development. It is when Orlando allows the public to invade his private life that the progression towards the androgynous being is halted. This occurs when he allows others to come and stay in house. But, this is extremely overwhelming for the individual who is still insecure and not yet ready to expose themselves, meaning their true selves, or for Orlando the androgynous being, to the judgment and harassment of others. This is why Orlando flees to Turkey. Here, he is once again comforted by “the dry and hot barren Turkish land,” which revives Orlando’s spirit: “Orlando is strongly identified with Knole, and the house sometimes takes a life of its own, reflecting thus Orlando’s spirit. The geography of her body is also undergoing a transformation” (80). Now that Orlando is at ease he may continue to balance his exterior and interior selves before he emerges once again into the public.

The clash amongst the public and private spheres also appears in the novel Mrs. Dalloway. This novel was published in 1904, twenty or so years prior to that of Orlando; however, Clarissa mirrors Orlando in that she too is insecure and struggles to discover self-identity while fighting to maintain the perception of the conservative aristocratic housewife. However, this is contradictory to the liberal life of which she would like to lead like her friend Sally, whose harsh radical feminism masks her pure androgynous being. But, Sally eventually surrenders to society and settles in a large house with her husband and children. Why would Woolf do this if it only further elevates the sense that women are to be domesticated? It is possible that Woolf is alluding to the governing power enabling society to mandate that women assume a pre-existing social role. This seems to be the case in Night and Day wherein it proves to be nearly impossible for women to be domesticated as well as independent. Katherine and Mary in many ways parallel Clarissa and Sally. Both women fail to balance their independence while sustaining a romantic relationship. They do not even attempt to blend these two worlds; in fact, attempting such does not even appear to be an option. The majority of the novel is preoccupied with the idea of a loveless marriage, which in turn grants women more freedoms:

“Her agreement to marry William is a practical arrangement, leaving her free to continue her fantasy life unhindered. But it is also a gesture of despair or resignation, paralleled by Ralph’s proposal to Mary Datchet; like him, she accepts that she cannot construct a meaningful relation between her inner and outer life.” (Woolf, *Night and Day* xxix)

To the reader this may seem that one must choose between their inner and outer being; yet, this is far from what Woolf is suggesting. Rather, she is really urging women to deviate from this archaic mindset and move towards a seemingly more androgynous lifestyle that combines the two.

One must remember that this is one of Woolf's earliest novels and that it plays a vital role in the grand scheme of her ideologies. These earlier novels lay the groundwork for those to come. In Mrs. Dalloway, Clarissa emerges as a more mature and developed character in the sense that she is married, but does not forego her search for some freedoms. Unfortunately, Clarissa continually regresses into maintaining the public persona and never successfully aligns her interior and exterior beings. For this reason Orlando may be considered one of the most well-rounded and developed characters in the sense that he/she is able to coexist between both spheres as an androgynous being.

In the last chapter of the novel Orlando is able to venture out into the world as a confident androgynous individual. With such, ... everything was partly something else, and each gained an odd moving power from this union of itself and something not itself so that with this mixture of truth and falsehood her mind became like a forest in which things moved; lights and shadows changed, and one thing became another. (Woolf, Orlando 237)

With "light", or truth, Woolf is able to suppress the "shadows" created by the oppressions of the patriarchal society. In doing so Orlando returns to the forest, which is suggestive of perhaps a return to Eden, or utopia. For this is Woolf's utopia. Orlando is entering into this replica of Eden alone it suggests that Orlando embodies both Adam and Eve, and in doing so is androgynous. So, at the close of the novel Orlando ultimately fulfills Woolf's theory that adopting the androgynous state of mind is achievable. This is Cervetti deems as "androgynous wholeness," the "unified self, or as a resolution to the problem of true self and conventional self" (171).

Inevitably, Woolf took a risk with this novel. It is likely that the early 20<sup>th</sup> century reader would have been uncomfortable with the idea of gender-bending. While the Bloomsbury Group was known for its free-spirited sexuality in which they often had relations with one another, whether heterosexual or homosexual, the public ridiculed them for such (Cummings).

However, the Bloomsbury group did not seek public approval, rather they were more so concerned with:

“The nature of good. They were very aware that the Victorians put a great deal of attention on public life, and these friends wanted to turn that kind of investigation on personal lives, private lives... And in the pursuit of truth, conventions, where they were mere conventions, were there to be ignored, to be torn up, to be challenged.” (Cummings)

Virginia Woolf wrote with more than the mere intention to produce an enjoyable novel. She was out to prove that she, a woman, was able to create a piece of literature that was equal to or better than a man's. And, she did as evident by the current popularity and admiration of her work today. Woolf was far beyond her years. To use a literary term- she foreshadowed what was to come. This is best portrayed in Michael Cummings brilliant screen production of “The Hours.”

“The Hours” stems directly from Michael Cummings’ childhood passion for the novel Mrs. Dalloway. It parallels the novel in that it follows three women over the course of three days during three distinctly different generations. He follows a day in the life of the writer, Virginia Woolf in London (1923), the reader, Laura Brown in Los Angeles (1951), and the character, Clarissa Vaughan (a modern day interpretation of Mrs. Dalloway) in New York City (2001) (Cummings). The point being that extraordinary events occur during even the most mundane activity during one's day. Much like Woolf's writing, for Woolf was an idealist and has a tendency to convey pivotal information within the most unexpected places: “It is an ordinary day in the life of an ordinary person as told by a genius. By the end of Mrs. Dalloway you understand that everything you need to know about human life is actually contained in every day of every human life” (Cummings). This is a profound statement describing Woolf's artistic ability to capture the meaning of life within her words. Michael Cummings adopts many of the symbols that are embedded within the literature and makes them a part of his film. With such advances in technology Virginia Woolf is once again brought to the forefront. For the unfortunate reality is that Virginia Woolf is not a key figure in a high school curriculum, nor even a college one at that. Thus, the younger generations lack the exposure to her life and life's work that is so foretelling of their past, present, and future. Cummings attempts to revive interest in her work in manner that is modern, unique, and culturally relevant. “The Hours”

is yet another way to memorialize Woolf's work, reach modern audiences and the upcoming generations, while also developing yet another means of eliciting her creation and use of androgynous symbolism.

In the article *Play Into Film: Warner Brothers' Who's Afraid of Virginia Woolf?* Leonard J. Leff expresses the benefits of cinema:

Lehman attempted to use a heart-shaped locket to clarify the nature of the relationship; in doing so, he actually enhanced the text... The meaning seems clear: when yet another man disappoints her, Martha returns Daddy to her heart. But what Martha does with the locket when George presents the flowers invites a more careful reading. To accept George fully as her husband, she must deny her father, which frightens her. Though she wants terribly to love George, "who tolerates . . . who is kind . . . who understands," his sudden self-assurance frightens her even more. In the film, Martha nervously fingers the as George offers her the "flores para los muertos," the dead perhaps being her father as well as her son. The locket's movement back and forth on the chain- literally heart-rending- subtly manifests how fully George threatens Martha's relationship with daddy and how torn between husband and father she feels. Without a context, of course, the gesture is almost unnoticed, but the presence of the locket in Lehman's earliest draft illustrates how the pursuit of clarity may sometimes lead to visual enrichment of a work. (455-456)

Thus, in actuality Cummings is preserving Virginia Woolf and her literature. Doing so also presents the opportunity to expose the subtle images embedded within her literature using various cinematic techniques.

Perhaps one of the most significant examples portrayed within the film is Virginia Woolf's study. Cummings provides the character of Virginia Woolf with what Virginia yearns for all along- a room of her own. Virginia's study acts as her sanctuary, a space wherein she is able to escape and work on her novel. The windows in her study link Woolf to the outside world and act as a constant reminder that she is examining the inner vs. the outer beings.

Cummings also features windows as symbolic of freedom. This symbolic use of windows emulates Woolf's usage, as has been discussed previously within this paper. The ideal example of this symbolism is Richard's suicide. For years Richard feels trapped by his disease and feelings of helplessness, and falls into a deep depression and covers all of the windows so that the room remains dark. Eventually, he comes to the conclusion that suicide is his

only escape, and Clarissa finds him in a frenzy ripping down the sheets that once blocked the windows. He opens the window, sits perched on the sill, gently tips over, and plummets to his death. It is then that Richard, at least in his own mind, has discovered some sort of freedom. In a way this is also freeing for Clarissa's character because she has been his sole caregiver for years. Now she finally has the time and ability to devote herself to herself.

"The Hours" enlightens viewers as to how Woolf's writing still impacts the life of woman, even the most ordinary, almost a century after the novel was first put to press. Mrs. Dalloway is particularly significant in the life and decisions of Laura Brown, the distressed at-home-mother. The novel- the words of Woolf- are monumental in stopping Laura's suicide attempt, and convincing Laura to face her problems. True, Laura abandons her husband and children. This may be morally and socially unacceptable; however, it is also forgoes a sense of courage, honesty, and strength- the very aspects that Woolf hopes to instill in women. Thus, one must wonder, has Woolf succeeded?

Surely, Woolf was undeniably a woman of the future. However, it is debatable whether Woolf would be satisfied by women's current social standing. Of course this is all personal opinion, but I believe that society is still in a state of progression. The life of contemporary woman, in most European and American cultures, is far more flexible than that of a woman of the early 20<sup>th</sup> century. Take a walk down a busy street in any major city and look around. Notice the busy commuters who are dressed professionally, maybe even in suits, clutching onto their briefcases as they rush to work. They may be doctors, lawyers, business executives, or maybe politicians. They are strong, successful, and independent; but more importantly, they are women. Women of the twenty-first century can now share in many if not all of the same liberties as men.

Michael Cummings reinvents Clarissa Dalloway by blending her with the persona of a strong-willed twenty-first century woman. A single lesbian mother and career woman, Clarissa Vaughan, played by Meryl Streep, achieves the nearly impossible for the early twentieth century woman. She maintains an openly homosexual relationship with Sally, she has a child without a man (most likely through a procedure such as artificial insemination), and she is the sole caregiver to Richard, her one time lover and best friend who is also gay and dying of aids. This type of character

would not exactly be welcomed by Woolf's London; rather, Cummings writes for a culture wherein issues such as gender-bending, homosexuality, single mothers, AIDS, etc., are increasingly part of mainstream society. Society is exposed to such issues because they commonly appear in most, if not all, forms of media; for example, newspapers, magazines, television, movies, and music.

Cummings is granted the privilege of being able to create characters that Woolf is never able to because of limitations presented by overbearing outside influences. However, this social change only reinforces Woolf's ability to portray strong characters by using imagery that would not appear threatening to London society:

"She was really attempting to describe people's relationships. Not in the way that they talked to each other, or behaved to each other, but what they didn't say to each other- what was in their minds. It was the method that has become known as the stream of consciousness- the body language without the body." (Cummings)

Woolf's true intentions are concealed within such phenomena as Orlando's physical appearance, personal relationships, writing, and photographs as well as the images conveyed through references to nature, culture, light, color, external versus internal, buildings, etc. It is when these symbols are misinterpreted or ignored that I believe the novel is regarded as a profession of love, rather than its theme advocating the need for the androgynous mind:

The failure of many critics to recognize Woolf's achievement only demonstrates the limits (and masculine bias) of novelistic theory; Woolf's attempt to provide... example in Orlando demonstrates how polyphonic, capacious, and indeed, how novel the novel can be. (Thompson 6)

Who better to detail a raw account of womankind than a woman herself? Although Orlando is fictitious it does include truths which are personal to Woolf but which provide insight into the lives of all women. Woolf's words are forever etched in history as a reminder that all women no matter their race, ethnicity, economic status, appearance, or education, deserve better-deserve equality. Thus, Orlando is truly a revolutionary piece of feminist literature as its androgynous symbolism is our window into the past, a photographic still of the present, and a guide for the future.

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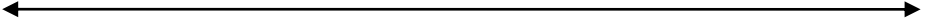
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### **The Compelling Pain:**

### **An Examination of Mark Twain's The Mysterious Stranger and Guiding Readers Through its Pitfalls.**

#### **Richard Price**

Before analyzing Mark Twain's The Mysterious Stranger, one must decide which version is closest to Twain's final vision. He wrote three unfinished versions, but none were published in Twain's lifetime (Gibson 2). In addition, a fourth version was created by Albert Bigelow Paine and Frederick A. Duneka by piecing together Twain's three unfinished versions in order to form one complete work that was published under Twain's name without any mention of Paine and Duneka's editing (1). Although complete analysis of The Mysterious Stranger would examine all five of these versions, one can consider the history of the manuscripts in order to suggest which version is the most authoritative and therefore the most worthy of extensive analysis.

William Gibson, who first published the manuscripts of Twain's three versions, wrote an introduction to the manuscripts which details the history of the texts. The public was first exposed to The Mysterious Stranger, the Paine and Duneka Version, in Harper's Monthly Magazine as a series from May to November under the title The Mysterious Stranger, A Romance in 1916(3). The extent to which Twain actually wrote the work is debatable. Albert Bigelow Paine, Twain's literary executor, collaborated with Frederick A. Duneka of Harper & Brothers, Twain's publisher, to edit together Twain's three unfinished manuscripts into the complete story published in Harper's. For the most part, Paine's version follows the first version Twain started, "The Chronicle of Young Satan." However, Paine and Duneka removed certain passages so the story would not offend Catholics and Presbyterians. They also removed burlesque passages (3). After all, they were trying to publish this as a children's story (1). Paine then added his own creation, the character of the astrologer, which was inspired by the character of the magician in the final version Twain started, "No. 44, The Mysterious Stranger." To conclude his edited version, Paine took the final chapter of "No. 44, The Mysterious Stranger," and changed the names of the characters within it to match the characters of "The Chronicle" version (3). Paine also authorized an illustration of the astrologer to be printed on the cover of the book version (4). This cover illustration is not only one that Twain did not give his approval of, but it is of a character that Twain did not create. This illustration is the first impression readers receive from the text, and thus

influences interpretation of the entire novel. In short, Paine significantly altered Twain's manuscripts, so why should anyone even bother to consider Paine's version, especially when there are three real Twain manuscripts?

Dismissing Paine's version as insignificant is difficult because after its release in 1916, it was completely accepted by the public as Twain's own work. Not until 1963, when John Tuckey published Mark Twain and Little Satan, was the public made aware of Paine's modifications of Twain's text (33). Until 1969, when William Gibson and the University of California published the complete manuscripts and notes, the public did not have access to any of the versions written by Twain (Jackson 57). During these decades of misconception, criticisms and analyses focused on the Paine version. Even today, some critics continue to write about Paine's version over any of Twain's because they believe that it is the version that is closest to Twain's final vision (Gibson 34). One cannot simply ignore the nearly five decades of scholarship written during this period of misconception, and the additional scholarship written after scholars realized that the originally published version of The Mysterious Stranger is not solely the work of Mark Twain. The issue gets more complex still when one considers that Paine's version was available to the public much earlier than any of Twain's. Today, even though Paine's version and Twain's manuscripts are in print, Paine's version is in the public domain and is therefore much cheaper and more readily available. Gibson's edition is usually five times the price of Paine's. This thesis therefore will not completely disregard the Paine-Duneka version, for to do so would be to ignore the interests of a great majority of the public, past and present. Also, if it were not for Paine publishing his version and drawing the interest of the public and scholarly community, Twain's manuscripts may never have been published and a great work would have been lost forever. However, because time is limited, Twain's versions must merit greater scholarly interest than that of Paine.

An analysis of all three of Twain's versions is beyond the scope of this thesis, but one version merits more scholarly attention than the other two. Twain did not complete any of the three versions during his lifetime, so it is unclear which might be closest to completion. Although Twain started each version at different times, his work on them somewhat overlaps: "The Chronicle of Young Satan" was written between 1897 and 1900 (Gibson 5), "Schoolhouse Hill" was written in 1898 (7), and "No.44, The Mysterious Stranger" was written between 1902 and 1908 (11). If each work improved on the previous one, then "No.44" is Twain's most improved version. The

first chapter as well as the characters of Father Peter and Father Adolf of “Chronicles” were lifted by Twain to use in “No.44” (3). This is evidence that Twain was content with these elements in “Chronicles” but reused them in “No.44.” Therefore, this thesis will assume that Twain progressed towards his completed vision through years of writing, and that therefore “No.44, The Mysterious Stranger,” the third and final version is most worthy of analysis.

In his book, Self-Consuming Artifacts: the Experience of Seventeenth-Century Literature, Stanley Fish compares literary writers to physicians. A good physician tells patients what they do not want to hear, such as “your current lifestyle will shorten your lifespan by twenty years.” On hearing this the patient is struck by fear precisely the response the physician wants for this fear will motivate the patient to change his or her lifestyle and thereby live an extra twenty years (Fish 3). The bad physician tells the patient what he or she wants to hear, that he or she is healthy. In this case, the patient never changes and dies too soon.

Like physicians, there are good and bad literary writers. The bad writer adopts a rhetorical style that reinforces opinions the reader already believes in, telling the reader what he or she wants to hear (Fish 1). The good writer adopts a dialectical style. that criticizes what the reader holds to be true (Fish 2). Pained from being told he or she is wrong, the reader is motivated to go back to the source and discover the truth (Fish 5).

This paper will adopt the dialectical style and cause pain. After reading “No.44, The Mysterious Stranger,” the reader is a fallen reader, one that believes in or gives consideration to 44’s teachings. This fall begins with the fallen reader seeing the character of 44 or narrator as someone the fallen reader can benefit from, or is neutral to the character of 44 or the narrator. Seeing 44 in a positive or neutral light makes the fallen reader listen to 44 because he or she does not see him as a threat. The fall ends with the fallen reader believing or considering ideas such as: one is not responsible for one’s own negative actions nothing exists there is no God and if there is a God, it is the reader. This is why the term “fallen reader” is used. Like Adam and Eve, the fallen reader has committed sins against God by believing he or she can do no wrong and doubting His existence, and is therefore in a fallen state. Whether or not the fallen reader completely believes 44’s teachings does not matter because consideration of them is enough to commit sin. If the fallen reader is considering 44’s idea that “nothing exists but You [the reader]” (Twain 405), then for that moment the fallen reader is doubting God’s existence and is sinning. In faith, there is no room to doubt, not even for a

moment.

The unfallen reader never gives consideration to 44's teachings, and is guarded against 44 the entire time. Further, the unfallen reader is guarded against the narrator, who has been corrupted by 44 and is now fallen himself. The unfallen reader sees the motivation 44 has for lying and manipulating the fallen reader as he does. Generally, this motivation is that 44 is Satan, and by getting the reader to fall, 44 is enlarging the population of Hell.

However, as was stated in the affirmative previously "After reading 'No.44, The Mysterious Stranger,' the reader is a fallen reader." This means that no one can read "No.44" without falling. To help demonstrate this point, picture the text as a tree with many branches. Each branch, fork of the branch, fork of the fork, and so on are possible interpretative choices. At every fork, there is a right interpretation that can get the unfallen reader closer to the unfallen reading, and a wrong interpretation that will lead the fallen reader to more fallen interpretations. However, even the right decisions lead the unfallen reader to more forks. The unfallen reader must navigate through the series of forks to reach the highest branch of the tree, the complete unfallen reading. However, only the unfallen reader can see this completed tree with all its branches. Fallen readers see the tree as only a trunk. There are no branches or forks in the tree because the fallen reader does not recognize that there are traps.

This thesis will help the fallen reader to build his or her tree. However, even if a fallen reader were to grow the completed tree and see the perfect reading, he or she could still not reach it. Unfallen readers know, because they follow the bible which is God's word, that humans are fallen, sinful beings. The human mind can imagine perfection only imperfectly, while pride makes one believe it is a perfect image. Therefore, the fallen reader believes he or she is standing on the highest branch of the tree when really he or she is only on a stump. There are too many traps set by 44 and the narrator, and the fallen reader is naturally too sinful a creature to avoid them all.

What then is the point of trying to reach the unfallen reader? The approach this paper takes to "No.44" is similar to the approach Stanley Fish takes towards Paradise Lost. Fish hypothesizes in his book Surprised by Sin:

Milton's purpose is to educate the reader to an awareness of his position and responsibilities as a fallen man, and to a sense of the distance which separates him from the innocence once his

(1)

Milton uses Satan to encourage the reader to side with Satan over God, and

then Milton, as the narrator, helps the reader to realize his or her sinful ways. Through this repeated process, readers are made aware of their tendency to commit sin. Hopefully, they will continue to recognize this fallen state even outside the text. After being cast down to hell, Satan says “Irreconcilable to our grand Foe, / Who now triumphs, and in th’ excess of joy / Sole reigning holds the Tyranny of Heav’n” (Milton, Book 1, 122-124). Satan’s language is very beautiful, and powerful when read aloud. It makes Satan look like a good leader (Fish 4). For this moment, the reader is sided with Satan against God. Then, however, the narrator, which Fish calls the epic voice, says, “So spake th’ Apostate Angel, though in pain, / Vaunting aloud, but racht with deep despair” (Milton, Book 1, 125-6). The epic voice is reminding the reader that Satan is a fallen angel; he has been banished from heaven by God, and while his words sound powerful, Satan is actually in pain and despair. This reminder by the epic voice is a gentle tug reminding readers that they are cheering for the bad guy (Fish 5). The epic voice helps to create the pain that Fish says good writers, like good physicians, try to create forcing readers to doubt the correctness of their responses not only for the moment, but for the entire poem and even after.

Twain has written in letters to colleagues that in writing The Mysterious Stranger manuscripts, which includes “No.44,” he wanted to tell what he thought of man and how he is constructed, and what a shabby poor ridiculous thing he is, and how mistaken he is in his estimate of his character and power and qualities and his place among the animals. (Jackson 57) This sounds much like what Fish hypothesizes as Milton’s purpose in writing Paradise Lost. Therefore, what is the point in trying to reach the unfallen reading of Twain’s story if it cannot be reached? The point is to fall. Then when the fallen reader tries to reach it again, the point is to fall again. The point is that the reader will always fall. In never being able to reach the faithful reading, the fallen reader comes to realize his or her fallen sinful nature. The fallen reader should take this realization into his or her life. People are constantly unknowingly manipulated in real life by outside parties. People are manipulated to buy certain products and vote for certain people, yet they believe that they are not manipulated but are making their own conscious decisions to buy that product or vote for that candidate. Only by making such manipulations conscious are people in a better position to counter them.

The problem is that there is no epic voice in “No.44” to tug readers on the sleeve and tell them they are following the wrong guy. If the reader does not realize he or she has fallen, that fallen reader will not try to get back

up, but will fall deeper and deeper into corruption. This thesis will serve as the epic voice that creates the necessary and compelling pain to make the reader see his or her errors and try to get back up.

Before beginning this painful process, it may be helpful to consider what the Twainian scholarly community thinks of what has been said so far. The scholarly community questions the basic assumption of this thesis, namely that “No.44” is the most authoritative version because it is the most recent and contains elements from previous versions. Articles written about The Mysterious Stranger either focus solely on Paine’s version,<sup>i</sup> or attempt to analyze all of Twain’s versions.<sup>ii</sup> The critics who focus on Paine’s version can be further broken down into those who wrote their criticisms before 1963, when Paine’s heavy editing of The Mysterious Stranger was announced in publication,<sup>iii</sup> and those who choose to write on Paine’s version after the announcement. As previously stated, analysis of Paine’s version has less scholarly merit because it was not completely the work of Twain. The scholarship that looks at all of Twain’s versions also falls short. While this thesis only analyzes “No.44,” its approach can be applied to all the versions of The Mysterious Stranger, including Paine’s version. In this light, critics of Paine’s version have also missed many corruptive elements of The Mysterious Stranger. Some critics note the effects the character 44/Satan has on the reader and other characters, but fail to recognize the motivation 44/Satan has for affecting them.<sup>iv</sup> Others recognize the motivation, but fail to note the effects.<sup>v</sup> Some critics take the motivation a step further by trying to determine Twain’s motivation for writing the manuscripts, but fall short of explaining how Twain attempts to achieve his goal.<sup>vi</sup> Sadly, other critics attempt to criticize Twain for inconsistencies in the manuscripts, but do not realize the problem lies in their interpretation, not Twain’s writing.<sup>vii</sup>

Critics who do analyze “No.44” pick up on elements of the corrupting nature of the text, but do not sufficiently so to realize that they themselves are fallen readers. Fleda Jackson sees imagery within the text that resembles holy conventions such as communion. However, she does not realize that resemblances are irrelevant and inverted, and these conventions are of an unholy nature. Derek Royal mentions the interpretation of seeing 44 as a manipulative and corrupting character, but at the same time, gives equal credit to the interpretation that 44 is simply a childish prankster. Paul Delaney realizes that the narrator has been affected by 44 and has adopted his mannerisms, but fails to recognize that it is a negative effect and that the narrator is now negatively affecting readers. These critics adopt Fish’s

“rhetorical” position towards the narrator and 44, and are therefore fallen readers.

Essentially, these critics are encouraging their readers to follow their own fallen sequences of bad interpretive choices. These readers then pass on this fallen reading to others. However, these critics cannot be criticized too harshly, for it is not their fault. They interpreted the text in a fallen way, just as every reader must. This general interpretive failure should encourage the readers of this paper. While it may hurt to learn that the fallen reader has been conned and manipulated by 44 and the narrator, the fallen reader should take comfort in knowing he or she has much company, and scholarly company at that. This paper is necessary to break the cycle, not the cycle of interpreting the text in a fallen way--it has been made clear that this cycle will never be broken--but the cycle of passing on the belief that one of the many fallen interpretations is the faithful interpretation. This is what separates this paper from all the others. While this paper attempts to dictate the faithful reading and must ultimately fail at doing so, it recognizes its shortcomings and sees the benefit in them.

In order to get as close as possible to the unfallen reading, one would have to take an approach similar to the one taken by Roland Barthes in analyzing Balzac's Sarrasine. In his book, S/Z, Barthes defines five codes through which the short story Sarrasine and any novel can be completely analyzed from: the hermeneutic code, semic code, proairetic code, symbolic code, and cultural code (Barthes 19). After defining and creating abbreviations for these codes, Barthes divides and numbers chronologically the twenty-three page short story into 561 subsections which he calls lexias. Each lexia ranges in length from one word to a few sentences. Sequentially, Barthes proceeds through each lexia, analyzing it through the lens of one or more of the five codes.<sup>viii</sup>

Just as all of Barthes' analyses of Sarrasine fall under his five codes, all of the interpretive choices the unfallen reader of “No.44” must correctly pass, fall under four manipulative techniques. There are two mediums through which each of the techniques is used, 44 and the narrator. The four manipulative techniques work together to corrupt the reader at many points in the text. Therefore, the sections of “No.44” must be broken down numerically and the manipulative techniques must be abbreviated so that cross referencing is possible. Also like S/Z, the story must be worked through sequentially, the way in which the reader originally was conned by the text. Two of the manipulative techniques depend upon the order of the



text to work. If the text were read out of order, these techniques would not work. Therefore, the text must be worked through sequentially so that the fallen reader can see how he or she was conned during the initial reading of “No.44.”

While a form similar to Barthes’ can be used in this thesis, its scope cannot be followed. Barthes analyzes every word of Sarrasine. When the reader has completed reading S/Z, it appears that nothing is left to be said, Barthes has said it all. This thesis cannot afford to portray this message to its readers, for to do so would be to create an interpretive choice. Unfallen readers of this paper will see that the faithful reading of “No.44” still cannot be reached. Fallen readers of this paper will choose to believe that the path of the faithful reading of “No.44 is now known. If this thesis appears to have shown every interpretive choice in “No.44,” it will give fallen readers a false sense of confidence. Fallen readers will return to “No.44” believing he or she now knows the right decision to make at every interpretive choice and can reach the faithful reading. This paper will have caused the reader to lower his or her guard and made the reader more susceptible to falling, which is the exact opposite of what this paper is trying to do.

Fallen readers naturally trust a story’s narrator. There is no other source for the story, so if the fallen reader does not trust the narrator, at least a little, then the fallen reader might as well not read the story. Therefore, the fallen reader trusts the narrator from the first moment. The narrator of “No.44,” a character in the story named August Feldner, must be dealt with separately because he is naturally trusted by fallen readers while the other characters are only trusted after the fallen reader has some experience with them.

The unfallen reader does not trust the narrator of “No.44” because the narrator has accepted the teachings of 44. As a follower of 44, the narrator attempts to pass what he has learned from 44 onto the reader. Whether he does this consciously, as a conscious follower of 44, or unconsciously, not knowing he has been affected by 44, is irrelevant. If the reader chooses to trust the narrator, then the reader is following a fallen interpretation.

It is evident that the narrator has been affected by 44 because his actions and speech as the character August contradict his speech as the narrator. August’s actions represent his original state of mind while this story took place, and his words as the narrator represent his state of mind later.

For example when 44 uses the term “human being” (Twain 334) around August, August feels insulted by 44. It is not the use of the term itself, but the context in which 44 uses it. Separating himself from the human race, 44

then insults it. He places humans even with the other animal species of the world (331), and then mocks the naiveté of the species to believe in the eternal bliss of an afterlife (334). Even August wants to slap him for the insult (333).

However, it is August as the narrator who adopts this insulting speech pattern of separating himself from the human race, and then insulting it. When the duplicates enter the story, the narrator says “in the same moment perfect Duplicates of all the rest of us came swarming in and plunged into battle” (306). The narrator uses the word “us.” This associates himself with the rest of the characters. Then, one page later, when referring to everyone who had a duplicate made of themselves, the narrator says, “They were only human beings, they had been foolish, they deserved some punishment, but to take their very bread was surely a punishment beyond their fault” (307). The “us” has changed to “they”: they were foolish, they deserved their bread, their faults. The narrator is separating himself from all the negative attributes he is associating with the human race. Not only does he do this once here, but repeatedly in the same sentence to make sure there is no mistake that he should not be lumped with them. He does this even earlier after Binks and the other printers test 44 on his knowledge of the printing trade: “The examination-scheme was a bad failure—a regular collapse, in fact,—and the men hated the boy for being the cause of it, whereas they had brought it on themselves. That is just like human beings” (258). The narrator uses the term “human beings,” as opposed to “us,” to separate himself from the negative human quality of never taking responsibility for one’s actions. The narrator has adopted 44’s habit of disassociating himself from the human race.

The mannerisms of 44 are also present in the narrator at the very beginning and end of “No.44.” The narrator opens “No.44” by setting the story in “the Age of Faith” (221). This is not measuring time by a chronological clock in years as a human would, but by a “mental and spiritual clock” (221). Time is measured by 44 with a mental and spiritual clock because for him, chronological time is meaningless. He can go to any point in the past or future whenever he wants. Therefore, the narrator’s use of the mental and spiritual clock is evidence that he has been affected by 44. Also, at the end of the story, August does not react to 44’s final message that “there is no other [lifetime]” (403) as an orthodox Christian would. An orthodox Christian would despair when confronted with a reality without an afterlife. August rejoices instead of grieving over the idea that his moral life will not be rewarded in a life still to come (Delaney 60). Again, this is evidence that

August has been negatively affected by 44 because it has broken him away from his faith.

The effects of 44 on August are not short-lived. Although the story begins when the narrator is sixteen and ends sometime when he is seventeen, it is being told by the narrator as an adult. Therefore, the narrator has been following 44's teachings for decades. In the opening paragraph the narrator says "I remember it well [Austria, his country], although I was only a boy" (Twain 221), a statement that tells readers that the story is being told some years after its occurrence. However, exactly how much time has elapsed is vague. This vagueness begins to lift when the other characters insult August by calling him an "unprintable name" (263). The narrator says this name "may seem like a small thing; but I can tell you that not all seemingly small things are small to a boy. That one shamed me as few things have done since" (263). This statement tells readers that the narrator is mature enough to understand that it was juvenile to get upset about name-calling, he has had enough experience with boys, while holding this mature perspective, to understand that this is a general quality all boys have, and August has lived long enough to be able to compare this embarrassing experience with other embarrassing experiences. Therefore, August is an adult. The fact that the narrator continues to live by 44's words years later as an adult, means that 44 had a permanent effect on the narrator.

Once the reader is corrupted by 44, the fallen reader takes on the role of the narrator. The fallen reader goes on, just like the critics, to pass on his or her fallen interpretation to others, but the average reader does not write articles and discuss literary interpretations with friends and family. The non-scholarly fallen reader will pass on his or her fallen interpretation of life because 44's corruption does not end when the fallen reader puts down the book.

The four manipulative techniques used to manipulate the reader are the half lie (LIE), the Hitchcock effect (HIT), through the minor characters (MIN), and manipulation of human nature (HUM). Each of these techniques is used by 44 and the narrator. To represent which medium is using the technique, a "44" will be placed in front of the code for the technique if 44 is using it, and an "N" will be placed in front of the code if the narrator is using it.

The half lie (LIE) is the most powerful of the manipulative techniques because it changes its form each time it appears and blends well into the other techniques. A half lie is a statement that is true when taken out of the context in which it is said. For example, when asked, "Have you studied the Latin,

Forty-Four?" 44 replies, "No, sir" even though he does indeed know Latin (Twain 252). He justifies this lie by saying that the word "study" implies learning through a teacher or institution, and he learned it on his own. Therefore, while he knows it, he did not actually study it. However, it is still a lie because 44 knew the question was posed to find out if he knew Latin. The half lie allows 44 and the narrator to lie so they can push characters and readers in the direction they want while 44 still maintains his childish innocence and the narrator maintains his trust with the reader.

The truthful side of the statement covers for the lie. To defend against the half lie, one must understand that there is no such thing as a half lie. "Half lie" is a term created to define this technique, but to an unfallen reader it does not exist. If something is partly a lie, it is completely a lie. There are no gray areas or little white lies. Once this is understood, the difficult part becomes discovering the parts of the statements that are untrue.

The elements of human nature (HUM) that the narrator and 44 exploit are the reader's love for the underdog, need to be a good person, and fear of solidarity. Americans are raised to favor the underdog. The story of America's independence in 1776 is an underdog story. The small group of settlers fighting mighty England in pursuit of freedom is a story that is romanticized in American society today. The Bible is filled with stories of the weak overthrowing a kingdom, such as Moses leading the slaves to freedom. Readers like to see the underdog overcome adversity and triumph because it gives them hope that they can do the same. HUM is personified in the character Doangivadam, whose very name is "Don' give a damn". He takes "the side of the underdog in the fight, be that dog in the right or in the wrong" (Twain 268). He does not give a damn about the facts of the fight; he only needs to identify the underdog in order to know the person he is going to back. Many readers are trapped by this same flaw.

Often, interpretive choices are points where the reader must decide with whom to side on a specific argument. This is where the need to be a good person and fear of solidarity further cloud judgment. The wrong decisions are those that are either backed by numerous characters or that are held by characters that the fallen reader considers morally right. Because fallen readers are human, they are biased in a way in which 44 and the unfallen reader are not. Fallen readers are susceptible to peer and social pressures and side with the wrong side of the argument.<sup>ix</sup>

In order to defend against these exploitative tendencies, the unfallen reader does not look at who is arguing but looks at what the argument is about. The unfallen reader looks at the issues to reason out which side of the argument

should be supported, if any. Reason allows the unfallen reader to approach each trap from an unbiased view.

While human nature insists that the reader trust the narrator, it does not insist that the reader trust any of the other characters. By using the half lie (LIE), and exploiting the human nature (HUM) of the minor characters in the story (MIN), 44 and the narrator are able to get the reader to like certain characters and dislike others. 44 persuades the minor characters who disagree with him to appear to act immorally, and the narrator paints them in a negative light. Therefore, the reader is hesitant to side with these minor characters. At the same time, the narrator praises the characters that side with 44, and 44 gives them ample opportunities to prove themselves righteous. Sometimes, the morality or immorality of the characters does not always come into play; sometimes the concern is peer pressure of the majority. As August says, "I wanted to be his [44's] friend, and longed to tell him so, but I had not the courage, for I was made as most people are made, and was afraid to follow my own instincts when they ran counter to other people's" (Twain 244). So too does the fallen reader. Even if the unfallen reader is suspicious of the narrator and 44, he or she can still be conned by a character. However, just because a character cannot be trusted does not mean the character is incapable of telling a truth or acting justly, which some of the characters do at times. The reader must make interpretive choices. Actions are less reliable indicators in determining which characters are acting righteously or selfishly, than motivations. Many times actions appear selfish while their motivations are nonetheless.

The most versatile of the manipulative techniques is the Hitchcock effect (HIT), a technique used throughout the entire story always used in conjunction with at least one of the other techniques. Alfred Hitchcock, "the father of suspense", made movies more suspenseful than those of other directors, not because he had more advanced filming technology, but because of the way he organized his scenes. Hitchcock would introduce a scene in which the audience would expect something to scare them, often adding suspenseful music to heighten this anticipation. However, by the time the scene ended, nothing scary would happen, but in the next scene, when everything appeared safe, the killer would jump out of the closet.

Hitchcock created suspense by intentionally raising his audience's guard, and then scaring them just as they let their guard down. 44 and the narrator use a similar technique to manipulate the moral compass of the readers. 44 and the narrator raise the reader's awareness of possible evils, excluding themselves, in order to attack the reader just as the reader has let his or her guard down.

It is possible to consider HIT as another form of manipulation of HUM. That is, it is a weakness in human nature to lower one's guard after the danger that originally raised it is gone. However, this weakness of human nature is exploited much more than any of the others and deserves its own classification. Also, it functions on multiple levels, while the others do not.

HIT functions at two levels, one of minor scope and the other of grand scope. The minor scope works by raising and lowering the fallen reader's guard over the course of a few paragraphs to a few pages. The grand scope works by beginning to raise the fallen reader's guard from the first chapter, but not raising it completely until three quarters through the story. Then, it drops the fallen reader's guard in the last quarter, all so it can deliver the knockout punch in the final chapter. The minor scope is easy to spot, because it is easy to notice sudden changes. The fallen reader learns to realize that at times when it appears he or she should guard a blow coming shortly. However, if the process is gradual, as in the major scope, the reader will not know when the blow is coming and will be like a frog sitting in a pot of water that is slowly being brought to a boil. The frog never even notices that it is cooking. The analogy works well because if the reader does not grasp this concept, then he or she will be the one being cooked in Hell.

Now that the history and scholarship of The Mysterious Stranger have been discussed, and the thesis and methodology of this paper have been reviewed, the attempt at a faithful reading can begin. Throughout this interpretation, there will be cross references. Sometimes, the success of one manipulative technique to corrupt the reader depends upon the success of a previous technique. At these times, the necessary effect of a previous technique will be stated, followed by a "\*" with a code and lexia number attached. This enables the reader to refer back to this lexia and code to see how this previous effect was produced.

1. "[B]ehind it [a river] rose the woody steeps to the base of the loft precipice; from the top of the precipice frowned the vast castle of Rosenfeld" (Twain 221).

Rosenfeld is set away from the village, on a precipice, so it is higher than the village; the woody steeps act as a barrier between them. However, the castle is not only physically higher than the village, it is also ethically higher. The castle is frowning at the town which suggests disapproval. The frowning and elevated physical location suggests to the fallen reader that the castle is superior to all the negative aspects of the village. This is not to say the castle is good, but to the fallen reader it appears better than the village. N:HIT.

Therefore, once in the castle, the fallen reader no longer needs protection from the threatening elements in the village.

1.1. "He [Father Adolf] was rolling along down the road, pretty full and feeling good, and braying 'We'll sing the wine-cup and the lass' in his thundering bass"(223).

The narrator depicts Father Adolf as a sinful drunk. The verb "rolling" creates the image of Father Adolf stumbling. Combined with the image of him braying a drinking song, his stumbling implies that he is drunk. "Pretty full," moreover implies gluttonous; "feeling good" and "thundering bass" imply pride; and "braying," a term commonly used to describe the sound of a donkey or horse, suggests he is animalistic. If Father Adolf is a member of the church and if he is drunken and sinful, then the church appears in a negative light. This raises the fallen reader's guard to the church so that once the story enters Rosenfeld castle, where the church is not present \*1.N:HIT, the fallen reader lowers his or her guard and is open for manipulation. N:HIT. However, the unfallen reader would look at the motivation for the character's actions along with the actions themselves. The song Father Adolf is singing may be referring to communion since sacred wine is drunk as the blood of Christ. As for the Father "rolling" along, it is never said that the Father was walking. If he was riding in a coach or wagon, then rolling refers to the motion of the coach's wheels.

1.2. "'What does she teach you -- to worship the Virgin?' 'No -- only God.' 'I thought it. You are on your road to hell'" (224).

Father Adolf is scorning a woman for following a religion that holds God in a higher respect than the Virgin Mary. N:HIT. Father Adolf, being intolerant of other religions, implies that he is forcing his own religion upon the citizens of the town, which further raises the fallen reader's guard against the church. Readers like being able to choose his or her own path, and if someone tries to force an idea upon the reader, he or she will reject it.

1.3. "Then the prior and all the monks went through with a great lot of mock ceremonies, pretending it was to assuage the Devil and reconcile him, but really it was only to make fun of him and stir up his bile more than ever" (226).

Just as the last passage was meant to weaken the reader's image of the church \*, this passage weakens the fallen reader's fear of the devil. N:HIT. This story makes it seem as if it is easy to trick the devil without any repercussions. But why should readers believe that it actually happened? Fallen readers believe it simply because it was told by the narrator.

1.3.1. "Such things [the broken part of the bridge] speak louder than

written records; for written records can lie, unless they are set down by a priest” (227).

In this statement, the narrator is trying to prove to the fallen reader that he or she should trust him in believing the town tricked the devil. \*1.3.N:HIT. Although the narrator does not have any written proof it happened, he does have a rock, a broken part of the bridge that was supposedly broken by the devil’s tail when he flew away. There are several fundamental problems with this statement. One, the narrator is attempting to evoke the authority of priests whom he attempted to demolish ethically four pages earlier \*1.1.N:HIT \*1.2.N:HIT by saying only their written records can be trusted. This inconsistency is enough for the unfallen reader to disregard the story. However, in addition the narrator also says that written records can lie, and for the reader this is a written record. Since the narrator never claims nor shows proof that he is a priest, this can be, and therefore should be considered a lie by the narrator’s own admission. The narrator has admitted his own unreliability.

1.4. “I had been familiar with that village life, but now for as much as a year I had been out of it, and was busy learning a trade” (229).

The narrator is telling the reader that everything he said in Chapter One is irrelevant to everything succeeding this point. The rest of the story is about a set of experiences at Rosenfeld Castle over the course of a year, during which time August was learning the printing trade. The Chapter One back story about Father Peter, Father Adolf, and Gretchen is useless in helping the reader understand any part of the rest of the story. Both Fathers are only mentioned one time each later in the story, and their parts have nothing to do with the back story presented in chapter one. If this chapter could be just as easily removed from “No.44” with “No.44” still being understood by the reader, why does the narrator include it? The point of having this chapter in the text was to raise the fallen reader’s guard against the church \*1.1.N:HIT \*1.2.N:HIT \*1.3.N:HIT so that the fallen reader will lower his or her guard when in Rosenfeld Castle, which is set off from the village and away from the church \*1.N:HIT.

2. “[A] scholar, and a dreamer or thinker, and loved learning and study” (230).

This is how the narrator describes the master of the castle, Heinrich Stein. Heinrich is the master because he is the most experienced in the printing trade of all the inhabitants of the castle, and everyone in the castle works for him. N:MIN. To a fallen reader this description seems positive because it portrays the master as an educated man. Yet, he must be humble



about his high education because he is still trying to educate himself more. He realizes he has not learned all there is to know. While he is intelligent and humble, he is still a “dreamer.” This shows that he has dreams and goals he would like to achieve which relates him to the fallen reader.

2.1. “[L]ong and lean and flat-breasted, and had an active vicious tongue and a diligent and devilish spirit (230).

In contrast with the narrator’s positive description of the master \*2, the narrator’s description of the master’s wife, Frau Stein, depicts her as untrustworthy. A woman’s breasts are used to sustain the life of her child. An image of Frau Stein being skin and bones and flat-chested removes the nurturing and motherly qualities associated with women. N:MIN. Also, her “vicious tongue” makes the fallen reader want to remove him or herself from Frau Stein for fear of being screamed at. Her devilish spirit also pushes the fallen reader away for fear of being contaminated.

2.2. “Inside the walls, where was safety, he clothed himself as Egyptians and magicians should” (231).

Once inside the walls of the castle that is set off from the town \*1.N:HIT, readers are given an alternative to the Judeo-Christian tradition: sorcery. The clothing the magician wears represents other traditions that go against Judeo-Christian religion. “Egyptian” clothing connotes anti-Semitism since Egyptians had enslaved the Hebrews, and magic is opposed to the Christian religion because Christians persecuted and executed magicians and witches. The idea that the magician is safe within the walls furthers the idea that the church is something to be feared for it is the church that would execute the magician if he was discovered. N:HIT. The fact that there is no church inside the castle lowers the fallen reader’s guard because the fallen reader was manipulated into being intently guarded against the church before \*1.1.N:HIT \*1.2.N:HIT \*1.3.N:HIT.

2.3. “Yet if it ever would be fair to strain facts it would be fair in her case, for she was not loath to strain them herself when so minded” (231).

The fallen reader believes the narrator when he gives these descriptions \*2. \*2.1. \*2.4. because he is the only source from whom the reader is able to obtain information (there is no second opinion available). However, the narrator admits he could be stretching the truth as shown above, which is never fair to do. Since he admits to straining the facts of one description, the unfallen reader would not trust any of his descriptions, including the positive ones such as Katrina. N:HIT. With the false descriptions, the narrator is implanting a bias within the reader to trust Katrina and the master, while guarding against the rest. N:MIN. This will make the fallen reader more

likely to agree with anything Katrina, the master, and 44 say while disagreeing with the others.

2.4. “She [Katrina] was erect, straight, six feet high, with the port and stride of a soldier; she was independent and masterful” (233).

This description of Katrina, the housekeeper, is the only positive description given to any character other than the master \*2. and 44. N:MIN. It portrays Katrina as an independent woman, while the image of her walking like a soldier shows that she takes pride in her independence. However, because it is like a soldier’s pride, it is not seen by the fallen reader as a sinful pride, which is how an unfallen reader sees it.

3. “[A] most forlorn looking youth, apparently sixteen or seventeen years old, appeared in the door, and stopped there, timid and humble, venturing no further. His clothes were coarse and old, ragged” (235).

This is the first description of 44. By this time in the story, fallen readers are guarded against the church \*1.1.N:HIT, Frau Stein, and the herd<sup>x</sup> \*2.3.MIN. It appears that 44 is not part of the church or he would wear better clothes, and he is not one of the evil characters as described by the narrator. N:HIT 44:HIT. Further, his tattered clothes suggest he is vulnerable and therefore not a threat. Therefore, the fallen reader’s guard is lowered, and the fallen reader accepts him. N:HUM. Also, the description is one of an innocent child. Readers want to be good moral people. To turn this child out into the harsh elements would be cruel and could possibly kill the child. So the fallen reader accepts the child into the castle just as the master and Katrina do.

In dealing with this HUM, readers must consider that the story is set in 1490. A seventeen-year-old male in 1490, was not the same as a seventeen-year-old male today. Today, seventeen-year-olds are thought of as children. In 1490, a seventeen-year-old male was an independent adult who needed to make life-altering decisions, and work for a living. From an unfallen reader’s perspective then, the apparently innocent defenseless child showing up at the Rosenfeld door is a potential threat, at best a bum.

4. “but shelter he could have none, for in her [Frau Stein’s] opinion he had the look of a murderer and a thief” (236).

N:MIN. Frau Stein’s reaction furthers the fallen reader’s acceptance of 44 because of that reader’s previous distrust of Frau Stein \*2.1.N:HIT. She does not want 44 in the castle, and the fallen reader does not want to be like Frau Stein in any way, so the fallen reader accepts 44.

The fallen reader needs to recognize that the reason he or she does not trust the other characters in the castle is the narrator’s fallen descriptions

of the characters. However, the fallen reader does not realize that the narrator is fallen. Therefore, instead of looking at the characters' traits to determine if the decision to turn 44 out is right, the unfallen reader looks at his or her motivation. Frau Stein is not turning 44 out just to be evil; she is doing it because to her unfallen perspective he is at best a bum. Because 44 is actually a threat, he should not be let into the castle.

5. "[T]he dog hadn't made a motion when the boy came in. Nobody but the master had noticed it, but it was a fact. It was the first time that that demon had ever treated a stranger with civil indifference" (238).

44:HUM. Many animals, because certain species have better hearing, sight, smell, and touch than humans, have the ability to sense things that humans cannot. Because the dog did not bark at 44, the master is willing to let 44 into the castle. Like the master, fallen readers see the dog's indifference as a definitive point to trust 44. Animals, however, cannot judge a person's character better than another person. If a dog's bark is a sure sign of bad character, then anyone who has ever used a vacuum cleaner is a bad person. Therefore, the dog's "opinion," if one can even call it that for animals do not have enough reason to form opinions, is irrelevant to an unfallen reader's judgment. Instead, the unfallen reader may use the rationale discussed earlier \*3. \*4. to determine that 44 should not be allowed to live in the castle. However, even if a faithful reader were to assume that dogs can tell the character of a person better than people, such a reader still should not trust 44 because a demon dog would bark at people not of evil character, but of good character. The dog does not bark at 44 because 44 is a demon like him.

6. "He made reputation for the magician right along; no matter what unusual thing he did, the magician got the credit for it" (245).

Although the magician and fallen readers do not realize it, the magician is the front man for 44. Throughout the story, 44 enacts various supernatural events that cause trouble for the other characters. Throughout two-thirds of the story, the fallen reader and the other characters believe that the magician is performing these tricks, and 44 is simply the medium through which the magician performs them. 44:MIN. Because the magician gets all the credit, 44 is able to maintain his innocent persona and keep the trust of the fallen readers, the master, Katrina, and August. 44:HIT. Further, with fallen readers' attention drawn to the magician, making them guard against him, 44 is able to take the first swing at making August and the readers more fallen creatures.

6.1. “Why do you reproach yourself? You did not make yourself; how then are you to blame?” (250).

August has reproached himself because he does not have the courage to be friends with 44 in spite of the “evil” characters’ dislike for 44. 44 assuages August’s feeling of guilt by telling him his cowardice is not his fault, because he was made that way. The repercussions of this statement are significant. If one no longer feels responsibility for one’s actions, then there will be little hesitation in performing any sinful act. However, for the unfallen reader, this reasoning is flawed because while God created people’s physical being, he also gave them the free will to choices.

6.1.1. “It [message of 6.1.] seemed an odd thing to get it from a boy, and he a vagabond landstreicher at that” (250).

This statement appears sensible to August and fallen readers because 44 is drawing all the suspicion to the magician \*6.44:HIT. If any other boy were to walk up to August and say this \*6.1, August would dismiss the boy as a dreamer. After all, August is sixteen, young, like 44 and does not have such deep thoughts. 44:MIN. This thought \*6.1. is only credible to the fallen reader because it appears to be the knowledge of the magician, who would be seen as an authority on such matter because of his powers.

7. “[H]e [44] must have read my thoughts when I [August] was minded to ask him if I might tell what happened last night.’ He called from far up the stairs, ‘I [44] did!’” (251).

From this line, fallen readers learn that 44 has the ability to read minds. 44:MIN. Again, however, this does not draw any suspicion to 44 of being extraordinary because the fallen reader believes the magician gave him this power.

7.1. “He asked me if I had studied it—meaning in a school or with a teacher, as I judged. Of course I said no, for I had only picked it up from books—by myself” (257).

44:LIE. When the master asked 44 if he studied Latin, Greek, or anything at all, 44 replied “no.” 44 claims he did not lie because the word “study” implies with a teacher or in a school. In this sense of the word, 44 did not lie. However, at this point in the story, readers already know that 44 can read minds \*7. Therefore, 44 could have read the mind of the master to divine the master’s intention in asking him if he had studied the printing trade. Further, there is no way the master could have assumed that there was any other way for 44 to obtain knowledge of the printing trade other than studying under someone else or at a school. Books during the medieval period were not available to one unless one were rich or in a monastery.

They certainly could not have been afforded by a boy who lived on the street and could not afford food to eat, which is exactly how 44 first appeared at the castle \*3. Therefore, 44 knew that the master was asking if he knew anything about the printing trade, not specifically if he studied it in school. To an unfallen reader then, 44 lied. Also, to an unfallen reader, the fact that 44 speaks Latin and other languages is an obvious sign that there is more to 44 than what he says.

8. “You [44] sneaked in without an examination, but you’ll pass one now, or out you go” (258).

44:HUM. The half lie just mentioned gave 44 the chance to act as the underdog and thereby strengthen his relationship with the fallen readers and August. Once Binks finds out 44 did not study to be in the printing trade \*7.1., Binks jumps at the opportunity to quiz 44 on what he knows. Binks’ pride was hurt when 44 was easily allowed to become a printers apprentice. By getting rid of 44, he hopes to get some of that pride back. In this situation, to the fallen reader, 44 is the obvious underdog. He is only sixteen, no actual teachings of the trade, and no experience in the trade. Binks has all that plus the support of the herd.

8.1. “The men had to laugh, they couldn’t help it” (258).

Because 44 is the underdog in this examination \*8., to fallen readers he is a hero when he trumps Binks. Even the spectators who were on Binks’ side and hate 44 laughed at Binks because 44 made him look ridiculous. Everyone enjoys the triumph of the underdog. Now, in the eyes of the fallen readers and August, 44 has gone from poor innocent child, to prodigy, to hero.

Unfallen readers know that 44 never was the underdog. Yes, he appears younger and more inexperienced than Binks, but he definitely had the upper hand in knowledge, and that is all that is required in an examination. Even on a first reading of the story, when the fallen reader is ignorant enough to believe that 44 gets his powers from the magician, the fallen reader should have recognized that 44 was not the underdog. If the magician can give 44 the power to read minds \*7., he can certainly give him the power to speak Greek and Latin. The unfallen reader knows that 44 derives his powers from himself, not from the magician, and therefore 44 is not the underdog.

9. “‘God permits such miracles from time to time, in order to strengthen our faith or convert sinners.’ Then most earnestly he warned us to be on our guard against accepting miracles, or what seemed to be miracles, upon our own judgment and without the educated and penetrating help of a

priest or bishop” (273).

Father Peter urges the congregation to beware of false miracles. True miracles, ones that are approved of by a priest or bishop, can benefit the witness by strengthening the witness’s faith. False miracles, however, can corrupt the witness into following something that is not part of the faith. N:HIT. Therefore, fallen readers and other characters guard themselves against false miracles, or supernatural occurrences.

10. “I’m the new apprentice. Out of unmerited disapproval of me, and for no other honorable reason, these cowardly men conspired to ruin the master” (278).

When Doangivadam asked what the trouble was at the castle, this was all he needed to hear from 44 to know he should support 44 in the argument. 44:HUM. The fallen reader has the same reaction. Just as before, the fallen reader sides with 44 because he is the outnumbered underdog.

10.1. “44 sprang up and gripped their necks with his small hands and they sank to the floor limp and gasping” (278).

When two of the herd try to seize 44 for telling Doangivadam why the herd is trying to ruin the master \*10., 44 stops them by choking them both. Because the fallen reader and August see 44 as the underdog in this situation \*10.44:HUM, 44 looks like a hero for choking these two evil characters. Just as before \*8.1., the faithful reader can recognize that because of 44’s supernatural abilities, he is not the underdog and should not be praised as one. Moreover, 44 is using his abilities to stop the other characters from objectioning to 44’s claims and to prevent the herd from showing that they are the true underdog.

11. “It was one of those ghosts; I did not need any one to tell me that; it had that damp, tomby feel which you do not get from any living person” (283).

N:HIT. Because of Father Peter’s warning against miracles \*9., August--and by extension the fallen reader who always believes the narrator--does not regard the completing of the contract as a miracle. With the contract completed, the herd has lost the battle and no longer has any way of trying to ruin the master. It is what August and Doangivadam have wanted since the conflict started. However, August does not see the completion as a miraculous act of God. Rather, August sees it as some kind of black magic related to death, ghosts, and tombs that must have been performed by the magician, not God. The unfallen reader guards against this false miracle not because of the tomby feel it gives August, but because it has not been confirmed by a priest.

11.1. “Doangivadam interposed some more wisdom, good and sound. He said -- ‘Wait. It isn’t the best way. He will leave the enchantment on, for revenge. We want it taken off, don’t we?’” (284).

Even Doangivadam, who took charge against the herd and their plans to ruin the master, does not accept the completion of the contract. He sides with the herd in persuading the magician to remove the enchantment. If the enchantment were left on, the herd would not be needed to do any work in the castle. Never again would they have any opportunity to ruin the master. N:HIT. Yet, because of Father Peter’s warning \*9., no one accepts the completion of the contract.

12. “I [44] know every trick he knows, and some that he doesn’t know. Tricks of my own—for I bought them; bought them from a bigger expert than he is” (301).

44:LIE. When discovering that the magician was never 44’s master, the fallen reader and August should feel deceived. This whole time, 44 has led them to believe it was so \*6. However, 44 never said who his master was, just that he had one. In a sense, the expert from whom he bought his tricks would be his master. To August and the fallen reader, 44 did not lie, but generalized when he said he obtained his powers from his master. Therefore, the fallen reader and August retain their trust in 44 because it was only a half lie. The unfallen reader would see there are no gray areas: a half lie is still a lie, and 44 deceived the fallen reader and August.

13. “He uttered the word, and vanished. I was so startled and so pleased and so grateful that I did not know where I was” (302).

44:HIT. The fallen reader and other characters have blocked the false miracle with which Father Peter said they would be hit \*9.N:HIT., and now they have lowered their guard. This is when 44 strikes again. The above statement is August’s reaction to 44 vanishing. He says this reaction is “what another boy would have done” (302). No, it is not, any other boy would have screamed and run away. People do not naturally have the ability to vanish. For an unfallen reader, this is a false miracle. August accepts the miracle and learns how to disappear himself. The damages of accepting this miracle are two fold. First, the fallen reader and August are further seduced into accepting 44. 44:HUM. To the fallen reader it appears as if 44 has done August a kindness by giving him a way to hide from the other inhabitants of the castle and thereby not be afraid of them. To August, who is fallen, the ability to hide from his fears seems a favor. It is not. Second, in turn, August has taught the fallen readers that running from one’s fears is preferable to facing them. However, if one does not face one’s fears, then the fears will

never be overcome.

14. “But he [44] said it [the idea that no one is in heaven] was not a jest—some time he would go into the matter and prove that he had spoken the truth; at presently he was busy with a thing of ‘importance’” [raising the magician’s reputation] (302).

One way the narrator manipulates the fallen reader is by speaking for 44. This is the narrator’s version of the half lie. N:LIE. Here, the narrator says that 44 said that it was not a jest that there was no one in heaven and that he would be the only occupant there if he were to go. 44 goes on to say that he has to deal with the more important issue of building up the magician’s reputation. The unfallen reader would see that to believe that a sorcerer is more important than heaven is a sin. Getting into heaven is the ultimate goal of the unfallen reader; nothing is more important. However, the fallen reader does not get as insulted as he or she should because the narrator does not directly quote 44. He quotes 44’s sentences directly before and after insulting the importance of heaven, but not during. This has two effects. The first is the visual effect. Without quotation marks around the sentence, the fallen reader’s eyes do not focus on the sentence as much as they do the sentence before and after it. The second is the mental effect. Without a direct quotation, 44 is not directly associated with the insult within the sentence: perhaps the narrator has misquoted 44 slightly. Therefore, although 44 does insult the reader, to the fallen reader it is just a glancing blow. N:LIE. However, to the faithful reader, the narrator is lying by not directly quoting 44, and is acting as his front man.

15. “[T]he men broke out on him with insults and ridicule and called him offensive names, and asked him where he had stolen his clothes” (304).

When the herd sees 44 dressed well, it hurts their pride. Only gentlemen are allowed to dress well, and it was the last element of superiority they had over 44. Therefore, they accuse 44 of stealing the clothes. 44:MIN. Again, fallen readers are turned off by the actions of the “evil” characters, and the fallen reader wants to separate his or herself from them. However, the unfallen reader recognizes that these are unfallen characters confronting evil.

15.1. “He [44] said he had come by the clothes honestly, through the generosity of his teacher the good magician, who created them instantly out of nothing” (304).

Readers know that the magician has done nothing for 44. 44 has his own power and could have made the clothes himself, or at least conjured up some money to buy them himself \*12. 44:LIE. Therefore, 44 is lying



when he says the magician created them for him. The unfallen reader would see 44 as a liar, and continue not to trust 44. However, 44 does not directly tell the lie to the fallen reader; the narrator does for him using the same techniques as before \*14.N:LIE. Therefore, the fallen reader maintains his trust in 44.

16. “[T]he next moment in our midst stood that slender figure transformed to a core of dazzling white fire” (309).

After 44 makes duplicates of all the male inhabitants of the castle, who proceed to fight with their counterparts, the herd demands that the magician destroy 44 for bringing this evil enchantment upon them. Therefore, the magician sets 44 on fire. All the characters and the fallen reader believe the magician has killed 44.

16.1. “[S]o many times when I [August] could perhaps have led him toward the life eternal” (309).

Even August, who like the fallen reader, knows the magician was not the source of 44’s power, believes 44 is dead. The unfallen reader knows the magician could not have killed 44 because 44 is more powerful than the magician.

16.2. “By reason of the strange and uncanny tragedy, all the household were in a subdued and timorous state” (311).

It can be assumed that by this point in the story, the unfallen reader has made it halfway up the “tree of pain” and has made all the right decisions and has recognized the deceptions of the narrator, and the exploitation of the reader’s human nature. After 44 creates the duplicates, the characters and fallen readers believe that 44 is killed, set ablaze by the magician \*16. Even August believes he is dead\*16.1. 44:HUM. Death makes one think of what could have been done to have prevented such an end. August thinks how he could have saved 44. Like August, the fallen reader may look back at his or her reaction to 44, and wonder what should have been done differently. 44:HIT. The fallen reader has lowered his or her guard, believing that 44 is not coming back. The unfallen reader realizes that 44 is more powerful than the magician and could not have been killed by him. Therefore, the unfallen reader does not celebrate or mourn 44’s death, for he is not dead.

16.3. “I knew he was, for the fact was plain enough, the cat could have recognized it. As indeed the cat did” (312).

August takes the fact that the cat acknowledged 44’s existence as proof that 44 is alive again. 44:HUM. Here again is the fallen reader’s tendency to believe that since some animals have sharper senses than humans, they must have a sharper spiritual sense than humans. \*5.N:HUM.

In ancient Egyptian myth, cats are guardians of the underworld. Therefore, it would still make sense for the cat to acknowledge 44 even if he was dead because he is part of the underworld. However, to a unfallen reader, ancient Egyptian myths are nonsense. The unfallen reader understands that while the cat acknowledges 44's existence, it does not mean that 44 is alive again. The cat sees the same 44 that August sees, whether he be a ghost, zombie, or reincarnated person.

16.4. "It wasn't an illusion, I [44] died,' and added indifferently, 'it is nothing, I have done it many a time!' It was hardly a statement, and I did not strain myself with trying to believe it" (313)

Once again, the narrator's actions are representative of the reader's actions. 44:HUM. For the majority of the public and the fallen reader, when something is too hard to understand right away, it is accepted as true rather than trying to investigate why or if it actually is true. This is the narrator and fallen reader's reaction upon hearing 44 say that he died and has done so many times. Also, the fallen reader and narrator do not want to miss anymore opportunities to act justly to 44. \*16.2. Therefore, 44's resurrection is accepted rather than wasting time and effort questioning it. However, by questioning 44's resurrection the unfallen reader may draw the conclusion that 44 is Satan.

44 says he has died many times. If he physically died, his spirit had to go somewhere between the point in which he physically died and physically came back. 44 told August that there is no one in heaven and he does not want to go there \*14. Since 44 does not want to go to heaven, it must not be heaven that he went to each time he has died. If he did go to heaven when he died, he would avoid dying again. Because one is either a fallen sinful being who is going to Hell, or a good person going to heaven, the only other place for 44 to go then is Hell. Hell is a place of torture. It is where the sinful are punished. There is no coming back from there, it is a permanent prison. Therefore, how can 44 die, go to hell, and still come back many times? He could if he ruled hell, if he were Satan.

17. "His supper was beyond praise for toothsome, but I was not acquainted with any of the dishes. He said they were all foreign, from various corners of the globe" (313).

During the time in which 44 is explaining to August how he died numerous times \*16.4, 44 produces some foreign American food for August. In her article "Reconciliation and Optimism in Twain's 'Mysterious Stranger' Manuscripts," Fleda Jackson suggests that the sharing of food in this scene is a type of communion used to "bring them spiritually back

together”: “The food provided here requires human preparation. It is not merely a trick but an example of human love evidenced in other times and other places” (Jackson 4). If the food 44 conjured up did require human preparation, one might agree with Jackson that the communion is of a holy nature. However, 44 conjures the food out of nothing. No human preparation was required, and therefore it is missing the love embodied in holy communions. The word “communion” is commonly used in the context of religion, a ceremony in which the participant is united with Jesus Christ. Jackson is a fallen reader by connecting this scene with a holy communion, because it portrays 44 as being as holy as a priest, for he is the one leading this communion just as a priest does in church. However, Jackson is not wrong in seeing this as a type of communion: it is just not the type that she implies it is. For an unfallen reader, this is an unholy communion, one in which August formalizes his servitude to 44.

18. “I [44] am sure I can say with truth that I have no prejudices against the human race or other bugs” (Twain 319).

In this statement, 44 is providing the fallen reader a way to identify with 44’s position. To 44, humans are bugs. Most readers would not consider themselves prejudiced against bugs. People get rid of them when they cause trouble such as spoiling food or destroying property, but leave them alone if they keep to themselves. Therefore, if humans are bugs to 44, then to say he is prejudiced against humans is to say people are prejudiced against bugs. 44:HUM. The fallen reader is not going to want to say this of him or herself, so the fallen reader accepts 44’s statement as true. The faithful reader will see the contradiction within 44’s statement, that to see humans as bugs is a prejudice, and thereby detect the lie. 44:LIE. Further, if humans do not matter to 44, then there would be no point in him building up the magician’s reputation and teaching August these life lessons. 44 may not have a prejudice against the entire human race, but he does have a prejudice against the ones who are more like the unfallen reader. This half lie attempts to hide the motivation 44 has for being on earth, which is that he is actually Satan attempting to corrupt the reader. 44 has a prejudice against unfallen readers because they are the ones he still needs to corrupt.

19. “Add up the sum: one broken heart, five blighted and blasted young lives. All this at the cost of saving a priest for a life-long career of vice and all forms of shameless rascality” (323).

44:HUM. Society takes pride in self-sacrifice. Self-sacrifice for a worthy cause is a virtue, but 44 would have readers believe it is not rational. Above, a boy sacrificed himself and four other members of his family to save

a corrupt priest. Why would anyone risk the hardship created through self-sacrifice when the results are unknown? Therefore, 44 would have the fallen reader believe it is irrational to sacrifice one's self. With this teaching, 44 is limiting the views of the fallen reader to this world only and making the reader materialistic. However, rationality is not a basis for an unfallen reader to decide on self-sacrifice. Self-sacrifice is based on faith, done not to gain worldly possessions, but to act virtuously in the belief that the life that is saved will live to act virtuously as well. If the fallen reader allows 44 to narrow his or her vision to only the material or self-interested world, then 44 wins.

20. "He [44] said he saw no particular difficulties in the situation if I was right about it: the first and main necessity was to silence the maid and stop Schwarz from proceeding with his marriage-and then blandly proposed that we kill both of them" (357).

44 suggests killing the maid and August's duplicate, Schwarz, to give August a chance to marry Marget.

20.1. "Damnation, we are not going to kill them!" (358).

44:HIT. August and even the fallen reader recognize this as an insane proposition. Murder is a sin and cannot be justified because August wants to marry the woman Schwarz is marrying. This is the first time August speaks against 44. The fallen reader along with August has blocked 44's idea of murder being justified, and consequently lower their guard.

21. "I would rather be a cat than a servant--a slave" (360).

To fallen readers it appears as if 44 has used his powers for good by taking the maid out of her slave-like position by making her a cat. 44:HIT. Therefore, they are further encouraged to lower their guard around 44. However, one must not forget that 44 turned the maid into a cat to solve August's problem \*20, not in order to please the maid. The unfallen reader knows the maid could have turned out to be unhappy as a cat, in which case 44's actions would not appear to be a kindness.

22. "I didn't know a thing about it, any more than you!" (387).

44 says he has temporarily given up his ability to see the future. 44:HIT. 44:LIE. To fallen readers, 44 has humbled himself and made himself more human. Therefore, they drops their guard completely, just as they did when 44 first came to the castle as a "forlorn looking youth" \*3. However, unfallen readers recognize that 44 could be lying, but if he did give up his power to see the future, he did it not to humble himself, but to have fun. Existence is more exciting to 44 when he does not know what is going to happen.

23. “It is all a Dream, a grotesque and foolish dream. Nothing exists but You. And You are but a Thought—a vagrant Thought, a useless Thought, a homeless Thought, wandering forlorn among the empty eternities” (405).

This final trap falsely encourages the fallen reader to believe that earthly existence has no repercussions. 44 tells August that everything is a dream, and that August is a thought. This seems to put August in the place of God and makes the fallen reader his dream. If everything is August’s dream, then he created everything, including the fallen reader. Visually, however, the text suggests the reader is God because “You” and other words referring to the person whom this line is directed to are capitalized, and the antecedent of the pronoun “You” is unclear. It could be August, God, or the fallen reader. Conceptually the text implies that the fallen reader is God because it says the fallen reader is the only thing that exists. If the fallen reader is the only thing that exists, and everything else is the fallen reader’s dream created by the fallen reader, then the fallen reader is God. Therefore, the fallen reader believes he or she possesses the powers of God.

Consequently, earthly life has repercussions for the fallen reader. If everything is only a dream, then it would not matter what horrible things one did to anything, allowing the fallen reader to perform any action that comes to mind. Once these actions are performed, 44’s mission is completed, for the fallen reader will be going to hell. Satan has corrupted another person into becoming one of his captured and tortured souls.

In his article “The Mysterious Stranger: Mark Twain’s New Myth of the Fall,” Buford Scrivner argues that this final message saves readers from the fall or original sin. However, 44’s idea that everything is a dream and that nothing exists runs counter to the Christian view in which everything exists because it was created by God in six days. Both views cannot be held simultaneously. One must believe one or the other. Scrivner argues that this final message replaces the Christian view (Scrivner 20). If the Christian view does not exist, then those ideas that it produces do not exist, i.e. our fallen status. Just because a fallen reader does not believe the Christian view that humans are fallen, that disbelief does not make the statement any less true. In fact, disbelief makes the statement more true.

44’s final and most corrupting message \*23. is accepted by fallen readers because of the large-scale Hitchcock effect, the one-time gradual, lowering of the guard extended over the entire story, finalized by this blow \*23.

The first stage in the large-scale HIT is gradually raising the fallen reader’s guard. When 44 first comes into the castle, the fallen reader does not guard

against him because of his innocent poor look. \*3.N:HUM The fallen reader's guard rises slightly upon hearing that 44 looks like a murderer and a thief \*4, especially since 44 does not deny the accusations that he has been in "jail" (Gibson 239). However, because the dog likes 44 \*5., and the herd makes the accusations against 44 \*4., the reader does not get too suspicious. The fallen reader's guard rises more when discovering 44 has special abilities such as the ability to read people's minds \*7. The fallen reader assumes there must be something unusual about 44 if he has abilities that no other sixteen-year-old boy has. However, because "good" characters think that the magician gave 44 these powers, the fallen reader becomes suspicious of the magician, not 44 \*6. However, 44 then admits that his powers do not come from the magician, but are his own \*12. The fallen reader's guard does not rise at this point because 44 teaches August how to become invisible. To the fallen reader, this appears to be a generous action and the idea that 44 would use his powers for evil is squashed \*13. The fallen reader's guard finally rises to its fullest when 44 says that humans are bugs to him \*18. If humans are bugs to 44, he would not hesitate to exterminate them if that benefited him. The fallen reader finally realizes 44 would use his powers against people, and should be guarded against.

After 44 raises the fallen reader's guard, the next step is to throw a blow that is blocked so that the fallen reader will think the attack is over and let his or her guard down. 44 suggests that August "kill" the maid and August's duplicate \*20 Schwartz in order to stop Schwartz from marrying the woman August loves, Marget, and to stop the maid from telling the master that it was August, not Schwartz, who came into Marget's bedroom when she was indisposed \*20. August and the fallen reader both recognize this as an absurd proposition \*20.1. This is the only time August and the reader resist 44's ideas, aware that murder is a sin. The problem is that after resisting this blow to commit murder, the fallen reader believes 44's actions cannot get any worse and therefore lowers his or her guard.

44's subsequent actions encourage the fallen reader to further lower his or her guard. When 44 turns the maid into a cat he appears to have used his powers for good, because the maid is no longer a servant, a slave, lulling fallen readers to lower their guard \*21. However, 44 turned the maid into a cat so that August would not get in trouble, not in order to please her. If the maid was unhappy as a cat, 44 might as well have killed her as he first suggested. Finally, 44 humbles himself by temporarily removing his own power to tell the future. At this point, 44 is the closest to human as he has been since he entered the castle as a "forlorn looking youth" \*3. The fallen reader's guard

fully lowered, just as when 44 first entered the castle, 44 springs his final trap \*23.

This thesis has attempted to portray a faithful reading of “No.44 The Mysterious Stranger.” While the focus was on only the “No.44” version of The Mysterious Stranger the approach can be applied to any of the versions. More broadly, this approach of finding the manipulation in actions and words and the motivation behind such manipulation can be applied to daily life. Mark Twain wrote in letters to friends that in The Mysterious Stranger he was trying to show readers “how mistaken he is in his estimate of his character and power and qualities and his place among the animals” (Jackson 57). This message does not stop when the book closes. People deal with these same four manipulative techniques HIT, HUM, MIN, LIE in real life. Yet people do not see that they are being manipulated because they feel they are powerful, and without fault. However, how can one expect not to fall in real life when one cannot get through a book without falling? After all, it’s just a book.

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<sup>i</sup>For examples of articles that focus only on Paine’s version, see Parsons, Perkins, Karnath, Livingston, May, Glick, Gervais, and Scrivner.

<sup>ii</sup>For examples of articles that focus on all of Twain’s versions, see: Jackson, Royal, and Delaney.

<sup>iii</sup>Coleman Parsons 1960 article titled “The Background of The Mysterious Stranger”. It makes no mention of any of the unfinished versions, and deals solely with Paine’s version as if it was Twain’s.

<sup>iv</sup>If interested in interpretations that fail to see 44 or Satan’s motivations, see Gervais, Delaney and Scrivner.

<sup>v</sup>Karnath’s article sees Satan’s motivation for manipulating the characters, but does not see the long-term effects.

<sup>vi</sup>Glick fails to determine how Twain shows the reader that he or she “is constructed and what a shabby poor ridiculous thing he is, and how mistaken he is in his estimate of his character and power and qualities and his place among the animals.”

<sup>vii</sup>Perkins criticizes Twain of being a fallen writer rather than admit he is the fallen reader.

<sup>viii</sup>To give an idea of the depth of Barthes’s analysis, here are the topics Barthes discusses in his half-page analysis of the title, Sarrasine: he raises the question, what is a Sarrasine, (because of his numerical ordering Barthes is able to cross reference to the lexia which answers this question)

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Sarrasine has a feminine connotation, which would be more prominent for French readers because of their gender affiliated language, and its femininity allows it to combine with other feminine elements of the text (17). This analysis would be even longer if not for the ability to cross reference.

<sup>ix</sup>This is much like how advertising works today. Axe deodorant shows commercials of women throwing themselves at men that use their products. Does any woman really throw herself at a man because he uses Axe deodorant? George Foreman is selling small grills that he claims get rid of the fat in the grilled meat. George Foreman, a retired boxer, has no authority on saturated fats and lipids. Yet, George Foreman and Axe have sold billions of their products. Readers are human, so the reader gives in to social pressures and falls.

<sup>x</sup>There are more minor characters within the story, all negatively described by the narrator. However, there are too many to analyze within the scope of this thesis. These other minor characters are always presented as a group within the story, and as such are useful to 44 and the narrator to act as a majority and create social pressures for the fallen reader and August. Therefore, this mass of characters will be referred to as “the herd.”



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*Thesis Abstract*

Kathleen Field

**The Development of Transition Metal  
Complexes and Organophosphorus  
Compounds: Their Role in Organic Syntheses**

Carbon-carbon (C-C) bond formations and carbon-hydrogen (C-H) bond activations are important classes of reactions in synthetic chemistry that have led to the development of new drugs, their precursors, and polymers. The challenge today is to develop new methods for these syntheses while applying the principles of “Green Chemistry.” In the most general sense, “Green Chemistry” involves developing new synthetic techniques while producing superior products in a more efficient economical fashion and reducing human and environmental exposure to toxic materials.<sup>x</sup> Typically C-C and C-H transformations are catalyzed with transition metals such as palladium (Pd), iron (Fe), nickel (Ni) and cobalt (Co).

This study examined different possibilities in the area of developing effective transition metal catalysts for organic syntheses. Specifically the effect of changing the traditional catalyst to a transition metal catalyst for the synthesis of aspirin was studied. The use of a suitable transition metal catalyst produces a highly colored reaction solution and a high quality of aspirin. The synthesis developed herein allows aspirin to produce without the use of concentrated sulfuric acid, thereby greening up the synthesis of aspirin.

The synthesis of organophosphine compounds as ligands for the development of organometallic complexes, potential transition metal catalysts, was also conducted. The premise of this investigation was to change the catalyst activity by varying the substituents bound to the phosphorus atom, thereby changing the stereoelectronic properties of the resulting transition metal complex. Results of this study produced a novel, bulky, and more basic phosphine ligand and its nickel (II) complexes.

*Thesis Abstract***Altered Expression of Adenosine Receptor Proteins in Adolescent Alcohol Dependency**Michelle L. Zook<sup>x</sup> and Dennis E. Rhoads

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Specific parallels between humans and rats allow for the latter to be studied as a model for understanding unique effects of ethanol on the adolescent brain. My study focuses on brain adenosine receptors as a target for alcohol that may be affected differently during chronic alcohol consumption by adolescents and may explain their greater susceptibility to alcohol dependency. To further develop the model, Long-Evans (LE) and Sprague Dawley (SD) rats were started on an ethanol-containing liquid diet in one of two postnatal (P) age ranges (days): P25-45 (young adolescent) and P60-70 (young adult). After 2-3 weeks, severity of withdrawal symptoms was determined. Membrane preparations from rat forebrains were isolated after specified periods of alcohol consumption and from age-matched controls. Expression of A<sub>1</sub> and A<sub>2A</sub> adenosine receptors was determined by analysis of membrane proteins by Western blotting with specific antibodies. Alcohol consumption (~16 g ethanol/day/kg body weight) and blood alcohol levels (~300 mg/dl) were comparable between the two age groups. When alcohol consumption was abruptly terminated, withdrawal seizures resulted for >50% of the adolescent LE rats compared to only 16% of the young adult LE rats. Western blots have shown no differences in A<sub>1</sub> receptor levels among different groups. However, there were 20% fewer of the A<sub>2A</sub> receptor in the adolescents LE rats than in adult rats of the same strain and the adolescent levels dropped by another 20% during alcohol consumption. Differences in expression of A<sub>2A</sub> adenosine receptor fit the proposed hypothesis for a brain system out of balance in the adolescent LE rats: lower levels of this receptor initially and then decreasing further during alcohol consumption. As an inhibitory brain system, decreases in an already low system could move the brain below a seizure threshold accounting for the greater signs of alcohol dependency at this age.

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