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A Bakhtinian Analysis of the Heroes of Four of Bulgakov's Prose Works

by

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the School of Graduate Studies and Research in partial
fulfillment of the requirements for the M.A.
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ABSTRACT

This thesis concerns four of Mikhail Bulgakov's prose works: Notes on the Cuff, Theatrical Novel (Black Snow), Fatal Eggs and Heart of a Dog. Bulgakov's masterpiece, The Master and Margarita, is, for the most part, excluded. The four novels, and particularly their heroes, are examined in light of the ideas of the Russian literary theorist, Mikhail Bakhtin.

What is chiefly investigated is whether or not the characters in Bulgakov's works function dialogically. This inevitably leads to a certain amount of comparison with the heroes of the novels of Fyodor Dostoevsky, since Bakhtin spent so much time examining the inner workings of the nineteenth century writer's art. Another of Bakhtin's theories which is applied in this thesis is that of "consummation" (zavershenie). To what extent do Bulgakov's heroes need and receive consummation from without?

Finally, some time is spent on the question of whether or not Bakhtin's theories are viable in an atmosphere of harsh and violent Juvenalian satire.

Note

In the interest of clarity the following abbreviations will be used when citations are made in the text:

AHAA = “Author and Hero in Aesthetic Activity”

DN = “Discourse in the Novel”

EN = “Epic and Novel”

PND = “From the Prehistory of Novelistic Discourse”

FTCN = “Forms of Time and of the Chronotope in the Novel”

PDP = Problems of Dostoevsky’s Poetics

FE = “Fatal Eggs”

HD = Heart of a Dog

MM = The Master and Margarita

NC = “Notes on the Cuff”

TN = Theatrical Novel

LW = Bulgakov: Life and Works

MW = The Major Works of Mikhail Bulgakov

N.B. For full citations, see “Works Cited” at the end of the thesis.

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INTRODUCTION

In her book on Bulgakov, Ellendea Proffer writes that “Bulgakov declared that he described in black and mystical colors the senseless and ugly features of life” (MW, 30). This is certainly true. Bulgakov did describe the senseless and the ugly. This makes him a satirist. He finds the base and the hypocritical in the world and holds it up for examination by the reader. He does not attempt to find meaning in chaos where it does not exist, and he does not offer solutions. He also described life, and very well. This makes him a novelist. This thesis is a character study of four of Bulgakov’s heroes in the light of Mikhail Bakhtin’s theories of the novel and of literature in general. The four heroes (Bakhtin’s term will be used) will be Mikhail, Maxudov, Professor Persikov and Professor Preobrazhensky. These characters are drawn from “Notes on the Cuff” and “Bohemia”, Theatrical Novel, “Fatal Eggs” and Heart of a Dog respectively.

One of the main theories in light of which these heroes will be examined is that of “consummation”. The four heroes are all alienated to some degree. With the exception of Mikhail they are all deeply affected, anguished even, by their solitude and solipsism. In some cases they have given way to neurosis, to anthropomachy (the extreme hostility towards the judgment of another human being), and to cynicism.

The hero is in need of consummation. This is an unquestionable fact in Bakhtin’s view. To go deeply into Bakhtin’s theories of consummation would require more space than is available in this thesis. However, a few selected passages from Bakhtin’s works

will give the reader a good general idea of what consummation entails for the individual and for the hero. Bakhtin writes that

(a) single person, remaining alone within himself, cannot make ends meet even in the deepest and most intimate spheres of his own spiritual life, he cannot manage without another consciousness. One person can never find complete fullness in himself alone (PDP, 177).

He also notes that

actions of contemplation, issuing from the excess of my outer and inner seeing of the other human being... constitute the purely aesthetic actions. The excess of seeing is the bud in which slumbers form, and whence form unfolds like a blossom (AHAA, 24).

He further notes that “absolution and grace descend upon (lived life) from the Author... from a self-activity that comes to meet my life from beyond its bounds” (AHAA, 79) and that “(f)rom within lived experience, life is neither tragic nor comic, neither beautiful nor sublime, for the one who objectively experiences it himself and for one who purely co-experiences with him” (AHAA, 70). Novelistic heroes are quite often not “whole” and they cannot confer form upon themselves without the assistance of the “other”. Bakhtin’s translator, Caryl Emerson, puts it succinctly in her preface to Problems of Dostoevsky’s Poetics: “For Bakhtin the whole is not a finished entity; it is always a

relationship” (PDP, xxxix). Indeed, “form”, as it is understood here, is not only the result of a relationship, but of a decidedly unequal one. The hero receives form as a gift (AHAA, 87). He is passive. This passive position is a difficult one for the heroes of Dostoevsky’s and Bulgakov’s novels alike to accept. They are often profoundly attached to their pretensions to self-sufficiency. Bakhtin’s view on self-sufficiency is that it is characteristic of monology and reason. He writes: “The faith in the self-sufficiency of a single consciousness...is a profound structural characteristic of the creative ideological activity of modern times” (PDP, 82). He notes elsewhere that “the need for love shatters my self-sufficiency” (AHAA 50).

There is a need, then, for consummation. This consummation comes from the “other”. Bakhtin uses different terms to refer to different kinds of consummating “others” such as “author”, “beholder”, “contemplator” et cetera. Vadim Liapunov, in his notes to “Author and Hero in Aesthetic Activity”, points out that there is a difference between the aesthetic domain and the artistic domain. The aesthetic domain is larger. Aesthetic consummation can be practised by anyone. Artistic consummation, of course, takes place only in relation to art between the hero, who lives on the plane of the novel, and the author, who lives on the plane of “real life”. In this thesis the focus will be on the aesthetic consummation which takes place within the novel between heroes who live on the same plane of activity and who react dialogically to each other. The reader must keep in mind that the Bakhtinian approach is not completely antithetical to the definition of the hero from outside his bounds. As Holquist puts it in his introduction to Art and Answerability, “not all totalizing strategies are inherently bad” (AHAA, xxiv). In some ways we can think of Bakhtin’s conception of the hero as somewhat similar to an

automobile. It is put together by people outside of it on an assembly line. It is only after it is complete and whole that it goes forward, controlled and directed by the man inside.

Some attempts will also be made in this thesis to define, to a limited extent, what kind of characters the four heroes are. In a Bakhtinian character analysis this invariably leads to a comparison with the novels of Fyodor Dostoevsky. Are they, from a Bakhtinian perspective, biographical, adventurous/heroic, social/quotidian, classical or romantic? This approach is especially interesting in an examination of Professor Persikov. There are of course, no pure generic forms observable in the heroes. The different traits of the different hero-types mix novelistically in them. We have “the union of several ideal forms, the action of several ultimate limits, with the predominance now of one, now of the other” (AHAA, 186).

Ultimately, however, we can see Bulgakov’s novels and heroes as somewhat more biographical in nature than Dostoevsky’s. “In biography the hero is naïve; he is connected with the hero by kinship”. The heroes of Bulgakov’s works are more akin to us (“us” being co-authors or author-contemplators) because the issues and ideas with which they must deal are more universal and closer to the common experience of the readership. Guilt, cowardice, loneliness, frustration at not being allowed to express oneself and regret at having alienated a loved one are more palpably biographical than Raskolnikov’s megalomania, Ivan Karamazov’s religious dilemmas, Rogozhin’s mad love, the underground man’s extreme and frightening misanthropy, or Nastassya Filippovna’s shame. The issues and ideas expressed in Bulgakov are, for the most part, closer to home. This is due in large part to the fact that Bulgakov was a satirist. Satire has its greatest effect not when it is produced for the benefit of the purely naïve and innocent, but for the

guilty and sagacious reader. The possibly guilty reader borrows the author's excess of seeing to see not only the hero, but also himself.

When reading the four works examined in this thesis the reader should keep in mind that Bulgakov's heroes are all professional creators who work with material, form and content. They are authors, scientific and artistic. Bulgakov's heroes are thus strikingly different from Dostoevsky's impoverished students, instant millionaires, philosophers, vagrant princes, courtesans, underground men, monks, lovers, prostitutes, usurers, revolutionaries, dreamers and party-crashers. They see, feel and experience more than just Bakhtinian ideas in the world. They also see, feel and experience material, and often the basest of material. This is characteristic of satire; to bring to light the material of life, in Bulgakov's case: the violence. Violence can be seen, in both literature and life, as pure material, devoid of form, ideology and axiological weight. Dostoevsky imbued violence with meaning and placed it within the context of ideology. Bulgakov depicts violence in its materiality. Pilate is a coward. Professor Preobrazhensky is a hypocrite. Sharikov is a greedy criminal. The officer who threatens Mikhail is portrayed as a nitwit. Mark Krisoboy is depicted as merely an instrument of torture. Professor Persikov is ripped apart by a mindless and senseless mob. This is material violence. It is more mimetic, devoid of ideology and sense. Violence in Dostoevsky, although it is not glorified, is often linked with ideology. This is a fundamental difference between Dostoevsky and Bulgakov. The mimetic portrayal of violence is characteristic of satire. It is much more difficult to distance ourselves from Preobrazhensky and Pilate than it is from Raskolnikov and Rogozhin. Raskolnikov and Rogozhin, despite their rich portrayal, can

be dismissed by the reader with one word, “crazy”, and enjoyed purely as artistic creations. This is not the case in Bulgakov.

As professional creators Bulgakov’s heroes are often confronted by the dilemma of reconciling their personal lives and their professional lives. Simply put, their jobs are causing them problems. It is almost as if professional life and personal life have entered into a dialogue with each other and have found irreconcilable differences between themselves. Often the professional life subsumes the personal and the social-quotidian aspect suffers as a result. Alienation ensues, “the solipsistic separation of a character’s consciousness from the whole, his incarceration in his own private world” (PDP, 10). Incarceration in the private, professional world is one of the main themes to be addressed in this thesis.

Finally, throughout the thesis some note will be made of what one might call Bakhtinian or dialogic motifs and their significance in Bulgakov’s oeuvre. For example, Heart of a Dog opens with the dog Sharik lying in a threshold bewailing his fate. This is a carnival motif. When time permits, and when they are deemed important enough, these motifs will be elaborated upon. Carnival and carnivalization will not, however, play a large role in this thesis, except in the case of “Notes on the Cuff” and “Bohemia” where their role is more significant.

The most significant motifs to be examined are those of lights, be they heavenly bodies or man-made lamps and fixtures, and mirrors. The image of the mirror has a special role in Bakhtinian poetics because it is a device which is designed for the purposes of self-reflection. The mirror’s role is ambiguous because it not only gives the subjectum the opportunity to contemplate himself. It also gives him the opportunity to contemplate

the way that the “other” perceives him. It allows the subjectum to make an effort, albeit an inherently unsuccessful one, at placing himself in an environment. These attempts at self-consummation never succeed because it is never possible to fully escape one’s own horizon. The reactions of some of the heroes to their reflections is interesting in both Bulgakov and Dostoevsky.

Lights are a much richer dialogic image in Bulgakov and will be examined more fully. Much attention is paid to lights as sources of illumination. They affect the way the heroes perceive the world and, more importantly, they permit the reader to examine how the heroes want to see the world. Heroes are often hostile to some sources of light and appreciative of others. Although it is not a main object of examination in this thesis, The Master and Margarita may be the work in which we find the attitude towards light in Bulgakov most succinctly expressed. Pilate cannot escape from light no matter how much he tries. The moon and the sun torment him. Also, Woland, chastising Levi Matvei, makes the following statement:

What would your good do if evil didn’t exist, and what would the earth look like if all the shadows disappeared? After all, shadows are cast by things and people. Here is the shadow of my sword. But shadows also come from trees and from living beings. Do you want to strip the earth of all trees and living things just because of your fantasy of enjoying naked light? (MM, 305)

Lights affect the way the heroes see objects, situations and themselves. Lamps and other man-made lights usually seem to represent a more reasonable and controlled attitude

towards illumination. Heavenly bodies usually represent a more dialogic illumination, more relentless and impartial and less forgiving. Ultimately, lights and mirrors are important mostly because, like the aesthetically consummating “other”, they force the heroes into a different point of view on the surrounding world and on themselves. Like Levi Matvei, the heroes in the four works examined in this thesis are not permitted to pick and choose the way they view things. They must accept different points of view.

The accepting of different points of view is important because the heroes of the four works, with the possible exception of Mikhail, are rather monologically oriented characters. Indeed, each of the four chapters in this thesis could be characterized partially as a study in monology. The heroes have constructed their personal horizons with a view towards inflexible stability. Their ideas have calcified and the introduction of new points of view are always problematic for them. However, in keeping with Bulgakov’s satirical sensibilities, the introduction of new methods of illumination often does not result in positive changes. No real and lasting solutions are offered.

MIKHAIL

Mikhail, the hero of “Notes on the Cuff” and “Bohemia” is strikingly different from the three other heroes examined in this thesis. The easiest way to describe this difference is to say that he is more positive, happier somehow, even though he is quite often portrayed in extreme dire straits. Also, Ellendea Proffer points out that “Notes on the Cuff” is...thin on description and characterization” (LW, 78). This evaluation is just. Bulgakov here is not concentrating as much on the hero as he does in his later works. Mikhail (clearly a stylized Bulgakov) is not constructed as intricately as the later heroes.

In this tale of a young writer living through miserable days in the Caucasus, organizing literary departments while trying to keep himself fed, we can see that Mikhail, in contradistinction to characters like Professor Persikov and Professor Preobrazhensky, does not have a strong need for the aesthetic (not artistic) consummation provided by the “other”. Consummation does occur, but it is not a life-changing experience.

There is also very little misanthropy and anthropomachy in this story, no fear of the “other”. One finds very few of the false smiles and strange eyes that are present in the later works of Bulgakov. Another factor which sets Mikhail apart is that he offers no valuational view of his home. It is true that there is an element of the solitude of the hero present, however, there would appear to be no real alienation. There is lonesomeness but no loneliness. Finally, there are no animals in this story. The presence of domesticated animals in a Bulgakov story nearly always indicates a hero who is profoundly alienated and who is in deep need of the aesthetically consummating activity of the “other”. Mikhail is

different. Bakhtin notes that “(a)s a rule, the hero of a novel is always more or less an ideologue” (EN 38). This is not really the case with Mikhail. Simply put, he is too hungry to have any exceptionally impressive ideas.

Proffer also notes that “Notes on the Cuff” is a “consciously literary work” (LW, 77). This fact is important to our investigation in that it leads to an examination of the work in view of Bakhtin’s system of genres. “Notes on the Cuff” and “Bohemia” in some ways constitute a Bakhtinian biography. It is certainly autobiographical in a general sense. Incidentally, Bakhtin notes that it is “difficult to provide an integral image of one’s own exterior in the autobiographical hero of a verbal composition” (AHAA, 34). He also notes, however, that “a lived experience as an inward given can be perceived in moral self-reflection only in penitential tones. But a penitential reaction does not produce a whole and aesthetically valid image of inner life” (AHAA 114). The lived experience must then be approached from outside, aesthetically, in order that it may shed its negative and penitential tones. This may account for the comparatively light-hearted spirit of “Notes on the Cuff”. Bulgakov is artistically consummating his terrifying experiences in the Caucasus, objectifying them and finding the humorous in them:

Aesthetic activity collects the world scattered in meaning and condenses it into a finished and self-contained image. Aesthetic activity finds an emotional equivalent for what is transient in the world...it finds an axiological position from which the transient in the world acquires the axiological weight of an event, acquires validity and stable determinateness (AHAA, 191).

We must keep in mind, however, that this consummation is artistic as well as aesthetic. It is not the aesthetic, consummating activity which we see between the characters in the work itself.

As previously stated, it is in “Notes on the Cuff” and “Bohemia” that we see carnivalization used to its greatest effect. In fact, this story could be called a carnivalized adventure-heroic biography. Elements of the social-quotidian variety are also evident, mainly in the simple fact that the characters are all striving to keep their lives together on a purely social level.

Despite the fact that his story is somewhat characteristic of the adventure-heroic type, Mikhail does not really fit the Bakhtinian description of a hero of the adventure-heroic type. As a writer he does not seem to have any particular will or drive to be a hero. In fact, he notes at points in the story that he hopes no one reads his works, that they remain hidden and that he is ashamed of them; so ashamed in fact that he feels deeply guilty when he lies and says that his play is a good one (Bohemia, 78). He does not seem to have any particular will to be loved. Lastly, he does not seem to be possessed of the “will to live life’s ‘fabular’ possibilities” (AHAA, 155). He does live through an interesting and exciting fabula, being rather motivated only by hunger and despair and not by a desire for adventure. These discrepancies are due to the fact that the story is profoundly carnivalized

One aspect of this story which clearly demarcates it as biographical is the fact that within it Bulgakov establishes a “pantheon of heroes”. Mikhail is placed within it, indeed he cannot escape from it. However, this is not an adventurous-heroic hero who “strives for glory” (AHAA, 156) as adventurous-heroic heroes ought to do. This is a hero who

loathes the pantheon, who, indeed, claims to “have no literary talent” (NC, 31) and to detest literature (Bohemia, 72). This is an element of pure carnival, wherein “what is suspended first of all is hierarchical structure and all the forms of etiquette connected with it, everything resulting from...inequality among people” (PDP, 123). The hierarchy of the world of Russian literature is completely suspended in this story, shown as its own laughing image. Equality and brotherhood are stressed in this story, in which Bulgakov, a man of science and letters, allows the world of literature to become carnivalized to an extent that is not reached in the scientist stories.

References to writers abound in this story. They are often described not in terms of their literary greatness, but in terms of their actions and situations as real people, people who can be “walked around” in carnival fashion:

Evreinov has arrived. In an ordinary white collar...He sat there with no money. His things had been stolen...Yesterday Ryurik Ivnev left. From Tiflis to Moscow. “Things are better in Moscow.” He got so worn out by travelling that one day he collapsed by a ditch. “I’m not getting up! Something has to happen!” It did: an acquaintance happened by the ditch - and fed him dinner...Another poet. From Moscow to Tiflis. “Things are better in Tiflis.”...a third, Osip Mandelstam...His laconicism was devastating: “From the Crimea. Nasty. You buy manuscripts here?...he left. Who knows where...The novelist Pilnyak. To Rostov, by flour train, wearing a woman’s blouse (NC, 22-24).

Mikhail refers here to “(f)ellow writers” (NC, 22), not to great adventurous heroes.

Brotherhood is stressed. Mikhail breaks bread with the unknown poet who is trying to sell his hat at the bazaar (NC, 34-35). He refers to Shtorn as “a blood brother” (NC, 59).

Literary people are portrayed here as ordinary people, striving not for greatness, but for survival. This fact leads to a discussion of the primary organizing force in the fabula of “Notes on the Cuff” and “Bohemia”: abject poverty. There are numerous references to this theme. Clothing and goods are periodically sold by characters throughout the story. Shoes are disintegrating. Desire for money is the main context of value. These themes are alluded to continually throughout the work. They have the effect of creating a different point of view on the literary world. The question arises as to whether Mikhail has become one of “the type of people who construct their lives without any attitude toward ultimate value: plunderers, amoralists, philistines, conformists, careerists, the dead” (PDP, 294). Statements he makes like “I earned my two thousand. Let someone else be the fall guy now” (NC, 26) may lead the reader to that conclusion. Another devaluation of the romantic image of the artist occurs at the end of the twenty-sixth chapter:

You who sit starving in a garret over a feuilleton, do not follow the example of the overfastidious Knut Hamsen. Go to those who live in seven rooms and eat (NC, 67).

The image of food in “Notes on the Cuff” becomes more interesting when compared to the images of food in the other stories, especially in Heart of a Dog, in which Professor Preobrazhensky gives detailed instructions about what and how a person ought to eat

(HD, 36). Mikhail's instructions on how to eat successfully when one is in a state of starvation are quite different: "do not eat your fill right away. On the first day, bouillon and a little white bread. Gradually, gradually" (NC, 65). This advice is given in the chapter entitled "How One Should Eat".

Another telling point in a comparison of the two lies in one of Preobrazhensky's rejoinders to Sharikov's complaints: "what if I had left you to starve?" This point, which reeks of monology and coercion, leads the reader to consider the fact that, even though he was miserable, Sharik the dog was eloquent and good when he was starving, with a strong sense of altruism. The same is true of Mikhail.

Starvation is personified in "Notes on the Cuff", in chapter thirteen, in which Mikhail states of a play he has co-authored, "Three of us wrote it: me, an assistant attorney, and starvation" (NC, 33). What we have here is indeed a carnivalization of the carnival feast table itself. It is starvation which takes the masks from the faces of the heroes of the adventure-heroic pantheon. The "carni" in carnival is replaced by its own carnival double: hunger.

Other carnival motifs are scattered throughout the story. After co-authoring the aforementioned play, Mikhail, in the first chapter of "Bohemia", jokingly suggests a contest to see who can write the worst play, and declares that he himself would win a prize for what he has just produced, a play which is designated as having been written by and for idiots (Bohemia, 73). When the playwrights are called to the stage to be acknowledged, Mikhail notes:

Genzulaev came out and took a bow, laying his hand against his clavicle. Then I came out and made faces for a long time so that I would be unrecognizable in the photograph (which was taken from below with magnesium). Due to these faces, a rumor spread throughout the town that I was brilliant but mad (Bohemia, 73-74).

The lunacy of all this is characteristic of the carnival atmosphere. All values are inverted. Masks are utilized. Idiocy is rewarded.

Another carnival image is that of the officer who interrogates Mikhail when he tries to go to Tiflis. Mikhail describes his office in the following manner:

it is a large room with a rug on the floor, a huge desk of unbelievable proportions, eight telephones of different designs with green, orange, and gray cords attached, and behind the desk, a small man in military uniform (Bohemia, 76).

These exaggerated surroundings are also typical of the carnival atmosphere. Throughout the rest of this passage the officer is portrayed as bumbling, self-important and irrational. His authority is exposed in all its ludicrousness. Mikhail's lie to him about why he is going to Tiflis, that is, for the production of his revolutionary play, is an example of gay deception; a lie which is justified because it is directed at liars.

A textbook example of carnivalization occurs when Mikhail tries to find LITO. He has been searching a large building for the headquarters of the literary publishing department and finally reaches what he believes to be the right location:

I knocked lightly at the door... I pulled on the handle, and it came off in my hand. I froze, a great beginning to one's career - I've broken it! I knocked again. "Yes! Yes!" "I can't get in!" I shouted. A voice could be heard through the keyhole, "Turn the handle to the right, then to the left, you have locked us in..." To the right, to the left, the door gently gave way and... (NC, 42-43).

The carnival image of the threshold is here given an extra element of crisis by the breaking of the door handle. The hero at the point of transition is comically confounded here. He needs help to proceed, and is given it by his brother-writers on the other side. He in turn helps them, locked in as they are by the defective door.

This point leads to the question of space in Bulgakov. Bakhtin notes that "In Rabelais everything of value must be as spatially widespread as possible" (FTCN, 167). This is not always the case in Bulgakov's work. What is most valued is often the smaller space, most notably, the apartment. Large buildings, which are nearly always depicted as confusing and oppressive, can perhaps be seen as the equivalent of Rabelais' carnival square. To be sure, there are many negative depictions of apartments in Bulgakov. However, a good apartment, such as the Master's or Professor Preobrazhensky's is always portrayed as a pearl of great price, a refuge from the unpleasant aspects of the city.

Most striking in this story is the carnivalization of Russian literature itself. Russian literature is valuable to Mikhail. He makes the following observation: "What names on our shriveled tongues! What names! Pushkin's poems have a surprisingly soothing effect on our embittered souls. Russian writers, there is no need for bitterness!" (NC, 21).

However, despite the fact that literature does have an ultimate value for Mikhail (he is, in the final analysis, not an amoralist, a philistine, a careerist or a conformist) and for Bulgakov himself, the majority of the references made to great literary figures of the past are carnivalized, made less serious. This is in keeping with Bakhtin's statement, in regard to ancient Greek literature, that "(t)he direct and serious word was revealed, in all its limitations and insufficiency, only after it had become the laughing image of that word - but it was by no means discredited in the process" (PND, 56). Bakhtin also states that "(a)uthoritative discourse can not be represented. It is only transmitted" (DN, 344). In "Notes on the Cuff" canonized literature, which tends to take on the qualities of authoritative discourse as time passes, is represented as its own laughing image. This is most clearly depicted in the chapter entitled "The Story of the Great Writers".

The chapter begins with a description of a presentation of the humorous stories of Anton Chekhov, complete with a caricature of the writer as part of its theatrical set. This in itself does not contain any noteworthy elements of carnival. Chekhov's humour is taken at face-value. There is no inversion or carnival-doubling. A subsequent evening devoted to the serious works of Pushkin is, however, completely carnivalized. Mikhail describes the portrait of Pushkin which is to be used in the presentation in the following way:

"Nozdrev himself looked out at me from a gold frame. He looked just great. Bugged, impudent eyes and even with one of his side-whiskers thinner than the other" (28). The description given of the evening itself is quite hilarious:

People giggled in the auditorium about the side-whiskers, Nozdrev stuck up behind my back and seemed to mutter to me, "If I were your boss, I'd hang you on the nearest

tree!” So I was unable to restrain myself and giggled. The success was shattering, phenomenal. Neither before nor since have I heard such thunderous applause directed at me. But later there was a crescendo...During the play, when Salieri poisoned Mozart, the theater expressed its satisfaction with an approving laugh and loud shouts of “Encore!” (NC, 28-29).

In this passage we see Mikhail the writer give way to carnival and laugh. Pushkin is the recipient of this laughter, which could be called “ritual laughter”. Indeed, Mikhail himself is a victim of the devaluation here. Of this phenomenon Bakhtin notes:

Ritual laughter was always directed toward something higher: the sun (the highest god), other gods, the highest earthly authority were put to shame and ridiculed to force them to renew themselves. All forms of ritual laughter were linked with death and rebirth...Ritual laughter was a reaction to crises (PDP, 126-127).

Mikhail’s world and the world of Russian literature described in this story certainly are in crisis. Pushkin, as the object of the ridicule of the audience, undergoes a carnival de-crowning and is held up to ritual laughter as a result of this crisis. His work, which could arguably be characterized, to some degree, as authoritative discourse for the average man or woman of Russian letters “gets drawn into the contact zone, which results in semantic and emotionally expressive (intonational) changes: there is a weakening and degradation of the capacity to generate metaphors” (DN, 345). In the light of this statement, it is

especially interesting that the passage of Pushkin which draws the greatest response from the audience is that which depicts the poisoning of Mozart by Salieri. The metaphorically grim capacity of this passage as regards the tragic death of Pushkin himself is destroyed, or at least greatly weakened, by the uproar of laughter from the audience.

This scenario is closely paralleled in the Yershalaim chapters of The Master and Margarita. The reader notes that these chapters, like the “Pushkin evening” in “Notes on the Cuff”, are distinguished by the fact that they constitute a “work within a work”. This feature intensifies the fact of their “represented-ness”, and makes them and the personages depicted in them more susceptible to ridicule. The Yershalaim chapters are another instance of “representation... without any epic or tragic distance... in a zone of immediate and even crudely familiar contact with living contemporaries” (PDP, 108). The most obvious target of novelistic representation in these chapters is Jesus. He loses his mythical, legendary status when he is novelistically represented as Yeshua. However, for our purposes, the most interesting figure in the Yershalaim chapters is Levi Matvei, a writer; indeed a writer who is arguably more well-read than any other who has ever walked the earth! And yet we see even him drawn into the carnival, characterized by Pontius Pilate as “cruel”, by the devil as “stupid” and by the novel itself as a crack-brained and obsessive religious zealot, bent on vengeance. Levi Matvei, like Pushkin in “Notes on the Cuff” is fully novelized and brought into the realm of the carnival.

The Pushkin evening is the most notable instance of the carnivalization of a great writer in “Notes on the Cuff” and “Bohemia”. However, two more instances are worth noting. The first is in the passage where Mikhail finds a copy of *The Three Musketeers* by Dumas lying on the floor of the bathroom at LITO headquarters. The image of the

authoritative literary word linked with bodily functions is an element of pure carnival. The second instance is Mikhail's dream about Lev Tolstoy. In this dream Tolstoy's life is presented in a novelistic way, replete with the sensual elements of food, drink and passionate emotional reaction. The reader should also note the carnival motif of the staircase:

I had a dream that I was Lev Tolstoy at Yasnaya Polyana... And people kept coming in and saying: "Please eat."... Sophie Andreevna herself comes up the wooden staircase and says, "Come. Vegetarian meal." Suddenly I become angry. "What? Vegetarianism? Send for meat! Make meatballs! A shot of vodka." She bursts into tears and some Dukhobor with a broad, thick red beard rushes in and says reproachfully, "Vodka? Oh, dear! What do you mean, Lev Ivanovich?" "What do you mean by calling me Lev Ivanovich? It's Nikolaevich! Get out of my house! Out! I don't want any Dukhobors here." There was some kind of uproar. (NC, 64-65).

This dream, which depicts a great writer (one who was, incidentally, identified by Bakhtin as extremely monologic) in a very novelistic fashion, has added significance when compared with the dreams of Maxudov. This will be discussed in the next chapter.

This, then, is the carnivalized view taken of great writers in "Notes on the Cuff" and "Bohemia". The question arises of whether it is not indeed a relief not to have to worry about being a great writer. The Master, unlike Mikhail, has plenty of money as the result of a lottery. He also has a great fear of critics, of the "other". These two facts make him more typically Dostoevskian. Mikhail, on the other hand, is a mercenary, a

rogue and even a liar (although, like a picaresque hero, he is always true to himself). He goes out of his way to write dross and seems to have fairly good mental health, especially in light of the terrible conditions under which he lives. Yeshua, one of the heroes of the Master's novel, proclaims the advent of a new temple of truth. Mikhail's opinion on this subject is less grandiose, more immediate and crudely familiar: "Truth comes only through suffering. That is true, rest assured. But they do not pay money or hand out rations for knowledge of truth. Sad but true" (NC, 22).

It was noted at the beginning of this chapter that Mikhail, unlike the other heroes examined in this thesis, has no profound and pervasive need for the consummating influence of the "other". This may be simply because "Notes on the Cuff" and "Bohemia" are "thin on characterization". Mikhail's deep and personal inner needs are not as fully examined as the needs of the other three heroes. However, there is one instance where the need for the aesthetic activity of the consummating other, and that activity itself are depicted. This activity is evident in the scene in which Mikhail and Genzulaev collaborate to write a revolutionary play. This scene is depicted in chapter thirteen of "Notes on the Cuff" and chapter one of "Bohemia". They obviously refer to the same incident. Before examining the image of consummation represented in the conversation between Genzulaev and Mikhail, it should be noted that a motif, what one might call a Bakhtinian chronotope, presents itself at the beginning of their encounter:

attorney Genzulaev (knocked)... We talked... (Genzulaev:)"What are you so down in the mouth about?" "Apparently, I'm doomed to die in this crummy Vladikavkaz of yours..." "There's no question about that. Vladikavkaz is a crummy city. I doubt

there's a crummier city anywhere in the world. But why do you have to starve to death? (Bohemia, 71-72)

Here we see an early reference to the theme of the hated city, a capital city, detested especially by the hero and held responsible for any number of woes. In "Notes on the Cuff" we see similar references such as "What an accursed city Tiflis is!" (NC, 19) and "a god-forsaken place...a strange city" (NC, 20). This theme is linked with the arrival of the consummating other and is used to greatest effect in the Yershalaim chapters of The Master and Margarita. This is an example of "the carnival sense of a great city" (PDP, 160) examined by Bakhtin. It is "something standing on the boundary between reality and fantastic invention" (PDP, 160).

Returning to the conversation, the reader can see that Genzulaev has a consummating influence on Mikhail. He suggests collaboration, a sharing of ideas. The question "why do you have to starve to death?" elicits a response and a solution from Genzulaev: "Here is what Genzulaev did. He incited me to write a revolutionary play with him about native life" (Bohemia, 72). After the play is completed, Mikhail complains that "(o)nly idiots would buy this play". Genzulaev immediately replies, "We're the idiots if we don't manage to sell this play" (Bohemia, 73). Genzulaev brings a fundamentally different point of view to the hero's situation. In fact, he completely inverts it. Genzulaev, as the other in relation to Mikhail, "is (more) intimately associated with the world" (AHAA, 40). He knows things that Mikhail, trapped in his self-condemnation, does not see. He knows, for instance, that people will buy the play. It does not matter if

it is good or bad. Collaboration and the sharing of ideas are stressed. This theme is repeated in Bulgakov's works.

Bakhtin notes that there really is no introduction of new ideas in Dostoevsky's novels, that character-ideologues interact and test out already formed ideas on each other. Sonia has nothing new to tell Raskolnikov. Ivan's Christ has nothing new to tell the grand inquisitor. A strikingly different state of affairs is depicted in Bulgakov's novels.

Characters enter the lives of the heroes and change, or at least try to change, their points of view on fundamental issues, introducing totally new ideas to their horizons. This is a modification of the Bakhtinian or Dostoevskian motif of forcing a character to converse with his double.

It has already been noted that the heroes examined in this thesis, with the exception of Maxudov, do not have the same passionate fear of the "other" that many of Dostoevsky's heroes have. Unlike the underground man, who says "I am a sick man", and then immediately pre-empts the possible compassionate response of the "other" with the assertion that he is also an angry and unattractive man, Mikhail in his despair says "I can't write anything at all. I'm tired, and it seems I have no literary talent" (NC, 31). He does not pre-empt a response. This makes it easier for the attorney to enter with his consummating discourse, for example: "You're talking nonsense. It's just because you're hungry. Be a man" (NC, 31). Mikhail leaves himself vulnerable to the penetrative word of another.

A special feature of the relationship between Mikhail and Genzulaev is the fact that they converse, and consider each other, as equals. This element is lacking for the most part in the situations of the other three heroes, and this lack retards the development of

dialogue and aesthetic consummation. The scientist stories include Bormenthal and Ivanov, the handsome, younger assistants. They are helpful, but they are ultimately inferior to the heroes. They are portrayed as being in awe of their older associates, who are clearly considered as mentors. Theatrical Novel includes Likospastov, a detested colleague whose judgment Maxudov loathes, as well as Bombardov, whose judgment is understood but ultimately rejected. In The Master and Margarita, Pilate and Yeshua converse as intellectual and ideological equals, but Pilate is socially far superior to his conversant, who appears before him bound and in rags. Indeed, Pilate has the power of granting life to Yeshua or condemning him to death. For these reasons consummation is most easily developed in the earlier story. There is no dialogue-destroying fear or awe in the relationship between Mikhail and Genzulaev. Before leaving Mikhail, two interesting dialogic motifs should be examined. The first is the image of the mirror. The following passage provokes the readers interest:

I went to the mirror. There was that face. Red beard, white cheekbones, red eyelids. But that's nothing, just look at the eyes. Not good. Again that glitter... Advice: avoid this glitter. As soon as it appears, take out a loan from a bourgeois (no repayment), buy groceries and eat. But do not eat your fill right away..." (NC, 65).

On a character's opinion of his own reflection in *Notes from Underground*, Bakhtin makes the following statement:

The underground man hates his own face, because in it he senses the power of another person over him, the power of that other's evaluations and opinions. He himself looks on his own face with another's eyes, with the eyes of the other (PDP, 235).

The experiences of the two characters are vastly different. Bakhtin goes on at length on the significance of the mirror image of oneself in "Author and Hero in Aesthetic Activity". Here it will suffice to note that Mikhail does not look at his own image with the eyes of another, but instead, we might say, with the eyes of another I-for-myself. His reaction is altruistic. There is in Mikhail, and this is also the case with the other heroes except Maxudov, very little fear of the "other".

A second dialogic motif is that of the ending of the story. In fact there are two endings. One for "Notes on the Cuff" and one for "Bohemia". The ending of "Notes on the Cuff" is more mimetic. The second last paragraph in the story finds Mikhail signing a paper which reads, "As of such and such a date, LITO is liquidated" (NC, 68). Half a page later the story is over. It is difficult to say whether this story has a finalizing, monologic function or not, like that of the epilogue to *Crime and Punishment* which Bakhtin criticized. Lito is certainly finished, as well as the interesting situations associated with it. However, none of the characters are finalized. We can only assume that they go on, find something new to do, or not, and continue to live out their lives. The point is that the ending of "Notes on the Cuff" is mimetic. It depicts the reality of the way things conclude in life; that is, suddenly and inexplicably, and really with no sense of absolute finalization at all. This inexplicability is characteristic of satire. No solution is offered.

The ending of “Bohemia” is more typically novelistic in the Bakhtinian sense. The ending of this story finds Mikhail leaving Vladikavkaz on a train, in the direction of an uncertain future: “along the bottom, jolting slightly, wheels began to turn. Eternal wanderers. Farewell forever, Genzulaev! Farewell, Vladikavkaz!” (Bohemia, 81). Here we see definite references to eternal open-endedness as well as a refutation of stasis in the life of the hero. This ending conforms more to Bakhtin’s vision of the novel.

A last topic to be mentioned briefly in this chapter is the treatment and significance of lights and heavenly bodies. These can be said to function in a dialogic fashion throughout Bulgakov’s oeuvre. They shine down mercilessly on the characters, illuminating them at times, causing them pain and distress at others, denying the heroes the solitude and unity of consciousness that their solipsism and misanthropy crave. Light in Bulgakov nearly always elicits a response from his heroes. The sun and the moon are never simply “there”. They are living and active and impossible to ignore.

This theme is not very well developed in “Notes on the Cuff” and “Bohemia”. Nevertheless, even in this early story lights are assigned value, are active, and are personified to some degree. For example: “(t)he oil light glows like a divine eye and sings with a crystal voice” (NC, 13); and the reference to “(a) very bright sun (the only good thing in Vladikavkaz)” (Bohemia, 75). There is rarely simple moonlight, but rather a “halo of moonlight”. The sun is frequently not just bright but even “merciless”.

In conclusion, we can see that Mikhail is not in dire need of consummation. Later on we shall see that this is the main characteristic that sets him apart from the other three heroes examined in this thesis. We do, however, definitely see the image of the consummating “dyad” in Genzulaev and Mikhail’s conversation. This theme continues

and is developed in different directions throughout Bulgakov's later writings. In the final analysis though, it is carnivalization which plays the most prominent role in "Notes on the Cuff" and "Bohemia", a startling modification of the Bakhtinian adventure-heroic biographic genre.

MAXUDOV

The Theatrical Novel is the longest text to be discussed in this thesis. As such there is an abundance of material in it relating to its hero and narrator, Maxudov. Much of this material is very intriguing from a Bakhtinian perspective; however, owing to the length of the book and the restrictions of the format of this thesis, only the most striking characteristics of the Bakhtinian hero and his situation can be touched upon here.

Like Mikhail, Maxudov is a writer. More specifically they are both prose writers turned dramatist. Most of the similarities, however, end here. Maxudov, simply put, is a more negative character. He is more deeply troubled and frustrated by the world around him. He is less able to accept and work through the problems with which he is faced. Most importantly, Maxudov is completely submerged in isolation - the sort of profound isolation which Ivanov identifies as the “heart of the tragic catastrophe” in Dostoevsky’s heroes. The theme of extreme isolation continues throughout Bulgakov’s prose works and is dealt with in different ways by the different heroes. Mikhail is only concerned with survival. This gives him an air of transcendence and tranquillity. Maxudov, as we can divine from a few passages in Theatrical Novel, is also hungry, but he does not seem to be hungry enough to transcend those aspects of his life which serve to isolate him.

In this thesis “Notes on the Cuff” and “Bohemia” have been classified, in terms of genre, as a sort of carnivalized adventure-heroic biography. Theatrical Novel is, of course, a novel, and a very polyphonous one too. We may be able to classify Maxudov as another adventurous-heroic character. However, his heroic efforts, his artistic

endeavours, are continually subsumed by the social needs of the theatre. They lose their heroic meaning and are assigned only social value. As Maxudov's heroism is destroyed, so is his position in the world eliminated. He becomes displaced and drifts about rootlessly. This accounts for the spirit of neurosis diffused throughout the novel. Maxudov is forced to become critical of his chosen adventure world, the theatre. "(B)eing adventurous and critical is impossible" (AHAA, 159). It makes adventurousness desperate. This leads to Maxudov's downfall.

The gallery of portraits in the theatre suggests the presence of the heroic pantheon in the same way that Mikhail's listing of writer's does. Likewise, Maxudov seems to be possessed of the three qualities of the adventurous hero: the will to be a hero, the will to be loved (or at least liked), and the will to live life's fabular possibilities (AHAA, 155). Maxudov's ideas about life's fabular possibilities are, however, very narrow. He sees the theatre as something that ought to be very limited in purpose and design, whereas in fact it is filled with very complex forces, both centrifugal, such as the petty vanities and personal agendas of the actors, and centripetal, most notably the monologic influence and power of Ivan Vassilievich.

It is, however, quite possible to opine that Mikhail is actually a very loveless character. He is not possessed of that love that "determines (life's) emotional excitedness and tension, giving meaning and body to all its inner and outer particulars from the standpoint of value" (AHAA, 157).

One of the main characteristics by which novelistic quality is imparted to Maxudov is his experience of dreams and neurosis, as well as the striking fantasy aspect which the

theatre takes on for him. It is always referred to in terms of its magical and enchanted qualities. Bakhtin writes that

(d)reams, daydreams, insanity destroy the epic and tragic wholeness of a person and his fate: the possibilities of another person and another life are revealed in him, he loses his finalized quality and ceases to mean only one thing; he ceases to coincide with himself (PDP, 116-117).

This notion is certainly in keeping with Maxudov's general instability. The best way to classify Maxudov as a hero may ultimately be as a hero of the first line of the European novel discussed in "Discourse in the Novel". The world view of this type of hero, of which Maxudov is a good example, is described in the following way:

(it) is not the ever-changing world view of a living and mobile human being, one forever escaping into the infinity of real life; it is rather the restricted world view of a man trying to preserve one and the same immobile pose, someone whose movements are made not in order better to see, but quite the opposite - he moves so that he may turn away from, not notice, be distracted. This world view, filled not with real-life things, but with verbal references to literary things and images, is polemically set against the brute heteroglossia of the real world and painstakingly (although in a deliberately polemical, and therefore tangible, way) cleansed of all possible associations with crude real life (DN, 385).

This idea of turning away from reality, of a world view which is devoid of real-life things and which is hostile to heteroglossia, is the central factor in Maxudov's relation to the Independent Theatre and its inhabitants. However, before we turn to an examination of this relationship, it should be noted that while we can designate Mikhail as a "first-line" hero, this does not mean that Theatrical Novel is a first-line novel. This is simply another example of a novel absorbing a different genre to serve its polyphonic purpose.

There are, of course, two subjects in the relationship between Maxudov and the theatre. The first is Maxudov himself, a rather narrow-minded and monologic individual. The second is the theatre itself, which is referred to at times as a single entity, but which is in reality made up of several different subjects with their own voices. There is, however, a dominant, narrow-minded and monologic voice present in the theatre too: that of Ivan Vassilievich.

Maxudov is above all an author. In fact, no matter how he is ultimately categorized, his authorial behaviour is always at the forefront of his activity. He is also entirely rootless. He has considerable success as an author and artist, but he is unable to interact and find a place for himself in the real world of others. Of Bulgakov's heroes he is closest to the Dostoevskian hero as described by Bakhtin as "a declassé member of the intelligentsia, cut off from cultural tradition, from the soil and the earth, a representative of an accidental tribe" (PDP, 22).

As in Mikhail's situation, hearth and home are negative factors in Maxudov's life. He is very poor. He frequently refers to the disgust he feels for his apartment. However, unlike Mikhail, Maxudov does not belong to a brotherhood of writers. With the exception

of Bombardov, there is very little support from his fellow professionals. In terms of the professional world Maxudov's situation is not much better. Although he loves the theatre, it constantly disappoints him and at one point even compels him to leave. Persikov, Preobrazhensky and Pilate are at least masters of their own domains. Their professional worlds do not reject them.

According to Bakhtin the author must be "someone who not only partakes of life from within...and understands it from within, but someone who also loves it from without" (AHAA, 190-191). As an author who is also a hero Maxudov clearly has no trouble loving life from without. He loves the characters in his book and play, in fact he even imagines, and quite vividly, that they are alive. Maxudov's problem lies in the fact that he is not capable of partaking in life from within. "World" is a word that Maxudov uses frequently. He is always looking for a new world and a new horizon - one that is beautiful enough to suit his inner needs. Of these successive worlds Maxudov states "I have lived in the following worlds: world number one: the university laboratory...I then got a job on the Shipping Gazette...(then the literary) world opened up and when I plunged into that ghastly party it proved to be unbearable" (TN, 51-52).

The theatrical world is the one Maxudov finally chooses for himself. He finds it absolutely enchanting. The references he makes to the thrall in which it holds him constitute a running theme throughout the text. His adoration, however, is not entirely positive. His reaction to a play to which he is given a free pass is, from a Bakhtinian perspective, rather odd:

I cannot say whether *The Favorite* was a good play or a bad one. It did not really interest me...I reveled in it. A bitter feeling seized me when it was time to go out into the street. I had so much wanted to...take part in the play...I invented my funny lines...Nothing...would have given me such pleasure as to have appeared on that stage (TN, 60).

This statement may appear innocuous enough when taken out of context, but in relation to Maxudov it is very telling. This is another attempt at finding a new world, a new horizon. We can note that he has no real cognitive or ethical reaction to *The Favorite*. He is not interested in its content, but only in its purely aesthetic capacity. He does not see the play or its characters as “others”, but rather as an alternate “I for myself”. Maxudov’s reaction to the theatre can be expressed in his own words: “This is my world!” (TN, 59). His reaction to his real surroundings is grim: “Oh, the life that’s bubbling and seething out there like a millrace...and here am I, buried alive” (TN, 160).

At the heart of Maxudov’s dilemma lies the fact that he finds it very difficult to communicate in a direct way. As an authorial hero he appears to be truly able to communicate only in an artistic fashion. Indeed, the text itself is an artistic communication from Maxudov to the reader. In real life he is ineffective. He is inept at social gatherings. At the buffet at the theatre he is unable to join in any conversations “although (he) longed to” (TN, 100). He introduces himself to the reader as “a rather odd person... somewhat afraid of people in general” (TN, 21). Maxudov’s ability to communicate artistically is an entirely different matter. He would appear to have no real qualms about inviting people to his apartment to hear him read his novel. It is only after the reading is over and the guests

become more familiar that he begins to feel uncomfortable and upset. Most notable, however, is his insistence on keeping the gunshot in the play. He states:

I was trying to save that shot: I wanted people to hear the poignant music of the accordion on that bridge, to see the blood spreading on the moonlit snow. I wanted them to see that patch of black snow. That was all (TN, 179).

The aesthetic communication is the only one about which he cares. His indirect artistic voice must be acknowledged even if his real voice must compromise itself by kowtowing to Ivan Vassilievich. This is the main value of the theatre for Maxudov. It is an edifice of artistic voices which will allow him to communicate. The absolute necessity of communicating the gunshot to the audience can in some ways be seen as his Bakhtinian “idea”. It can be likened to Dmitri Karamazov’s unquenchable desire to communicate the fact that although he is a thief, he is not a scoundrel.

The Independent Theatre is an entirely different sort of entity, most of all because it is filled with many different people with many different voices. They are not such pure artists as Maxudov. They have their petty vanities, their mean streaks, their mundane insecurities and desires. At the head of this organism is Ivan Vassilievich. He represents the centripetal force at work in the theatre. He is a monologic force, but even so strives to keep everybody else happy. Bombardov notes:

Look here: you must realize that as soon as you sat down and opened your script he had stopped listening to you. Yes, yes. He was thinking how to cast the play, how to

find parts to suit the founder members, how they could cast the play without upsetting the company (TN, 152).

Ivan's monology does serve a purpose. It maintains the minimum amount of order necessary to compose a work of art which has a large amount of participants. There are many carnival influences in the theatre, most notably Romanus, who tries to start fights between different cast members, exposing their egos and compelling them to conflict with each other for the entertainment of the entire company. Without Ivan these carnival elements might take over and destroy the theatre's artistic viability. This spirit of compromise is, however, unacceptable to Maxudov when it impairs his ability to communicate. Ultimately, Ivan Vassilievich's role in the theatre is probably more sinister than it is remedial. Bombardov's analysis of Ivan's management of affairs most accurately depicts the baneful influence:

"It's no good answering back, don't you see? At Sivtsev Vrazhek nobody ever answers back." "You can't mean it?! Nobody ever?" "Nobody...has answered back, does answer back or ever will answer back." "Whatever he may say?" "Whatever he may say" (TN, 130-131).

This absolute monology, from a Bakhtinian perspective, can never be good.

Maxudov has an intriguing fondness for and fascination with two of the workers at the theatre. These are Toropetzkaya the typist and Tulumbasov the house manager. Both

of them are praised by Maxudov for the fact that they are virtuosos at what they do. They fulfill perfectly their roles without compromising the integrity of the aesthetic event that is the theatre. In fact their roles are indispensable. There is nothing superfluous or frivolous in their activity. Not a single word or action is wasted by them. They can do many things at once without losing track of any one activity. This appeals to Maxudov's monologic frame of mind. He watches them, enraptured, like he watches the play. They appeal to him almost as artistic objects, expressing only one intent, that the business of the theatre run smoothly. Their activity is uni-directional, serving only the centre.

Under slightly more favourable circumstances Maxudov could probably have reconciled himself to the heteroglot nature of the theatre. He is not a completely monologic character. He does ask advice of others from time to time. He invites criticism and sympathizes with the actors. He is, however, unable to come to terms with Ivan Vassilievich's monologic control over his play. He turns to Bombardov for help.

Bombardov is Maxudov's consummating other. He fills the role which Genzulaev filled in "Notes on the Cuff" and "Bohemia". Once again the consummating other conflicts with Bakhtin's theories because of the fact that he introduces fundamentally new points of view on the situation of the hero. He sees the hero in his environment and acts as an aesthetic author/holder by supplying those transgredient moments which are inaccessible to the hero himself. He does not illuminate facts which have been "there" from the beginning of the plot. He provides new information and a new ideology to the hero. Mikhail accepts Genzulaev's judgment and advice ("Only idiots would buy this play." "We're the idiots if we don't manage to sell this play."). Maxudov's reaction to Bombardov is somewhat different.

As is the case with Genzulaev, who is described by Mikhail as “a pure soul with...an inspired face” (Bohemia, 71), the hero of Theatrical Novel takes an immediate liking to Bombardov: “Somehow I became friends with Bombardov from that first moment, he struck me as a highly intelligent observant man” (65). Mikhail will continue to turn to Bombardov for help throughout the novel.

Bakhtin notes at times the necessity of the author remaining outside the world of the hero. He states: “the author must be situated on the boundary of the world he is bringing into being as the active creator of this world, for his intrusion into that world destroys its aesthetic stability” (AHAA, 191). Although characters like Bombardov and Genzulaev, aesthetically consummating, authorial figures, are not outside the worlds of Maxudov and Mikhail, they are close to its edges. Bombardov, for example, is an actor. However, none of his aspirations, personal opinions or activities is mentioned in the text. Unlike the other members of the theatre, he is almost completely impassive. His status as an actor is mentioned only once and he thereafter seems to become a non-participant, as non-judgmental as Bakhtin’s ideal author, despite his surplus of knowledge and seeing. He is completely unselfish. Genzulaev can be located near the boundaries of the aesthetic environment that Mikhail inhabits by virtue of the fact that he is, unlike all of Mikhail’s other associates, not a writer. A character like Likospastov would be very poor material for the consummating role. He is, unlike Bombardov, ambitious, competitive and arrogant. He is too much in the world, not close enough to its boundaries. He is not possessed of that “inner axiological tranquillity” (AHAA, 205) which Bakhtin designates as necessary for the authorial figure. None of Dostoevsky’s heroes really possesses this tranquillity either. They are more firmly designated as heroes in the world.

The thirteenth chapter, entitled “I Perceive the Truth”, is where we see Bombardov’s consummating influence displayed to its best advantage. When the actor and the playwright meet in the latter’s apartment the first thing Maxudov demands is an explanation, a clarification of all the crazy things that have been happening in his life. Bombardov’s response is interesting: “Bombardov replied by praising the blini, looking around the room and saying, “You should get married, Sergei Leontievich. Marry some charming, tender woman or girl”” (TN, 141). Bombardov here sees something completely ignored by Maxudov; that is, he sees his loneliness and solitude. Later, in response to Maxudov’s doubts about the quality of his play, he replies, “Your play...is a good play. Full stop” (TN, 148). These remedial statements, the ability to see what is not there for the hero, are typical of the consummating other in Bulgakov. This ability is also evident earlier in the story when Bombardov tells Maxudov exactly what he will see at Ivan Vasilievich’s house. We should, however, take note of the fact that Bombardov’s predictions are not perfect. He is wrong about some small details of Ivan’s house. This serves to emphasize the duality of characters like Bombardov. They have aesthetic functions but they are still part of the fabula of the life of the story.

The consummating ability or the ability to see what is not there, combined with an undeniable imperfection, is typical of Bulgakov’s fantastic satire. The reader can see this idea developed most fully in The Master and Margarita, where traditionally omniscient figures like Jesus and Satan are depicted as imperfect in their knowledge. The consummating others, despite their relative closeness to the edges of the depicted world, are likewise not always entirely pure of heart and pure in their intentions. Maxudov notes that Bombardov is “enjoying (his) fury” (TN, 151). He also notes that his “replies were

marked by obvious restraint and discretion” (TN, 141). He is undeniably human. The most interesting aspect of the relationship between Maxudov and Bombardov is, however, Maxudov’s utter rejection of Bombardov’s attempts at consummation. After Bombardov has explained at length how the theatre works, how the vanities of the actors must be assuaged, how the theatre must look out for its interests and the interests of its members, how the theatre, despite its artistic role, is in competition with other theatres, Maxudov denies his vision completely:

“I’m a stranger in it,” I cried, “a stranger in your world - but nothing can stop me! I’ve arrived and I shall stay!...kindly stop contradicting me,” I said firmly, “you belong to it but I’m a newcomer, I can still see it all freshly and sharply!” (TN, 154)

This denial is the most complete denial of a consummating other by a hero that we see in any of the four texts examined in this thesis. Maxudov may be entirely right. As an artist he certainly has a right to expect some respect for his work. However, his total refusal to allow Bombardov’s point of view to have any influence over his actions only increases his problems. This is his new magical world, the only one he thinks he can love. His role in it must remain unchallenged.

Maxudov’s isolation has made him rather anthropomachic as well. This is typical of the speaker in Bakhtin’s vision of the confessional self-accounting. Maxudov makes the following assessment of Bombardov: “You’re a very interesting, observant and malicious man...and I like you very much, but you are cunning and secretive and it’s living in the theatre that has made you like that” (TN, 148). This anthropomachic attitude

lowers the value of Bombardov's consummating activity for Maxudov and, hence, lowers the effectiveness of that activity in general.

Lights, mentioned in the first chapter of this thesis, take on a much more important role in Theatrical Novel. Barely a page passes without reference to light, the quality of light, the effect of light, the lack of light or heavenly bodies. Maxudov's attitude toward light is not entirely clear, however, he constantly notices it and remarks upon it. In the few references he makes to his play the reader is made aware of the light which shines upon its characters, for example: "the lights came on and lit it up in bright colors... Scene One. It's evening, the lamp is burning" (TN, 55); and: "he lay motionless and something black was trickling from his head. High above was the moon and a line of telltale fires burned in the distant village" (TN, 55). Maxudov is concerned with questions of illumination. He is interested in how objects are presented and in what light they are cast.

Maxudov also has dreams which include candles and lanterns. Even while sleeping Maxudov is concerned with illumination and its methods. It is also interesting to note at this point that when Maxudov dreams of being an author he is situated above the people who act his play. When Mikhail dreams of being the author Lev Tolstoy he is located on the same level as the other characters in his fantasy, interacting and arguing with them. This discrepancy of dreams serves to underscore Maxudov's isolation.

Lights outside the theatre are sometimes described negatively. Near the beginning of the story Maxudov notes: "(m)y lamp was unnecessary, its light irritating and unpleasant, I switched it off and my loathsome room stood before me in the light of dawn" (TN, 20). Later he remarks, "(a) hundred-candle-power bulb hurt my eyes beyond endurance" (TN, 38). Also interesting is the fact that the devil himself, in the person of

Rudolfi, produces a lightbulb and gives it to Maxudov, providing illumination to his room. Most interesting perhaps is the passage at the end of chapter thirteen in which Bombardov attempts to help Maxudov and fails: “Bombardov switched off the lamp and in the half-light of dawn everything in the room began to stand out in all its squalor” (TN, 155). From all of these examples we can see that light is not Maxudov’s friend outside the theatre. It often hurts him and seems only to reveal ugliness.

Light in the theatre takes on a somewhat different role. In the theatre references are made not only to lamps, but more often to “frosted glass globe(s) full of light” (TN, 63) and crystal chandeliers. Light is more vivified, often metaphorically and metonymically connected with living things. The reader notes “an electric cable...like a thin grey snake...connected to a tiny lamp” (TN, 165) and “a stuffed brown bear with electric bulbs for eyes” (TN, 101) in Tulumbasov’s office. Offices in the theatre have differently coloured lights, described alternately as green, as causing a “perpetual twilight” (TN, 100) and even as “hellish” (TN, 75).

The description of Maxudov’s encounter with the carnival influence, Romanus is typical of the depiction of light:

“Here comes Romanus. That means things will get going soon...” I thought, shielding my eyes with my hand from the light of the lamp...”Howd’ you like it? Eh?” asked Romanus, frowning. “Oh dear, he’s trying to drag me into an argument!...” I thought, squirming under the lamplight...”I’m sure I can see from your expression,” went on Romanus, staring at me and trying to draw me into the pool of light, “that

you're not fully convinced..." "This man is dangerous," I thought as I looked at Romanus, "really dangerous. There's no way of fighting him!" (TN, 168-170)

The presence of Romanus is here equated with the presence of light and illumination. They both disrupt Maxudov's established point of view and cause him considerable distress. For the rest of the people in the theatre Romanus functions as a reliever of pressure, a clown who exposes egos to the delight of the spectators. To Maxudov he is a threat, trying to draw him into a position of illumination.

The stagelights are most impressive:

pouring down a flood of light from gridded reflectors, the great potbellied arclights were uncovered, covered again... a battery of popeyed spotlights were switched on in the wings, from the foot of the stage poured a live, hot wave of light. "Footlights on..." (TN, 168).

The main point to be made in this discussion of light lies in the fact that in Bulgakov's works light constitutes more than just prosaic stage directions. It is always an illuminating force both literally and figuratively. The single lamps and globes in Theatrical Novel, especially those outside the theatre, can be seen as emblematic of pure reason. They do not take all sides of humanity into account. They often induce pain, concentrating too much energy on one object at one time and only from one perspective. The sun, on the other hand, is the truth-revealing force. The truth in Theatrical Novel is not always

positive. In fact, the sun, at different points in the novel, serves to illuminate for Maxudov the squalor of his hated apartment. The presence of the sun causes the false lights to be switched off. It is constant, uncompleted, unconsummated, even authorial, illuminating from all sides, promoting a dialogic attitude, casting shadows and eradicating the weaker shadows thrown by artificial light. It is hidden at night, but it always returns to illuminate again the next day.

The stage lights are quite interesting when compared to the other lights in the story. They are referred to as “live” and they more closely imitate the multi-perspectival novelistic aspect of the sun by illuminating from all sides, at different strengths, changing colours and extinguishing from time to time. This is all done in order to present at greatest advantage the imitation of the event of being which is portrayed on the stage. This aesthetic sun is of limited duration, but, of course, so is the dramatic work of art. This imitation sun is what Maxudov desires. Single lamps are too often irritating and painful. The sun illuminates completely but impartially. What it illuminates most of all is the negativity of Maxudov’s life. An imitation sun, a controllable and private sun, is the perfect compromise. Unfortunately for Maxudov, it ultimately eludes his grasp.

Finally, some mention should be made of the presence of domesticated animals in Theatrical Novel. Maxudov has a cat which dies in the third chapter. It is his only real companion before he gets involved in the theatre. He refers to his cat as a “prop, (a) defense against death”. He talks to his cat about his problems, saying “(I)t’s the onset of neurosis...it will get worse and engulf me. But I shan’t die just yet” (TN, 20). However, Maxudov is at this point so isolated and self-absorbed that he expresses relief when the cat eventually dies. It is one less psyche that he must take into account, even if it is not a

human psyche. As previously mentioned, the presence of domesticated animals in Bulgakov's works usually implies serious problems in the lives of the heroes. This theme is not well-developed in the artist stories. It is explored more fully in the scientist stories and in the Yershalaim chapters of The Master and Margarita.

Finally, there are three striking dialogic motifs worth mentioning.

The first motif is suicide. Theatrical Novel is the work of a man who is already dead by his own hand. Bakhtin expressed "(I)nterest in suicides as conscious deaths, as links in the conscious chain where a man finalizes himself from within" (PDP, 296). Maxudov, as the hero most critical to the consummating word of the "other", certainly fits the role of the suicide in a Bakhtinian sense. He can find no consummation, understanding or completion in the other, and so he finds it in himself by jumping off a bridge.

The mirror is another important motif in Theatrical Novel. In the previous chapter we noted that Mikhail's reaction to his own reflection is extremely altruistic. He expresses concern for the well-being of another and is thoroughly unselfish. Maxudov's reaction is different:

From the mirror a face stared at me with frowning brow, bared teeth and eyes which betrayed a mixture of anxiety and low cunning. I clutched my head, realizing that the mirror had cheated me and I threw it on the ground..."You fool, you fool!...I was all right as long as I was staring at myself in the mirror but the moment I look away all my self-control vanishes and my face shows exactly what I'm really thinking and...oh God! Oh, God!" (TN, 178-179)

Here we see a fear and loathing of the “other” that mirrors that of the underground man. The idea that someone might know what he is really thinking is absolutely appalling to Maxudov. This is highly indicative of his inflexible and monologic world view.

A third dialogic motif presents itself in Maxudov’s reaction to certain words:

But suddenly... Oh, that accursed word!... I bear with me a cowardly, invincible fear of that word. I fear it as much as I fear words like “Guess what?” “You’re wanted on the telephone,” “There’s a telegram for you” or “Will you please come to the office.” I know only too well what follows words like these (TN, 132-133).

Let us compare this attitude with Bakhtin’s:

“Suddenly” and “at just that moment” best characterize (the) type of time... (which) comes into its own in just those places where the normal, pragmatic and premeditated course of events is interrupted - and provides an opening for sheer chance, which has its own specific logic... This “game of fate,” its “suddenlys” and “at just that moments” make up the entire contents of the novel (FTCN, 92).

Maxudov finds the novelistic atmosphere frightening and uncomfortable. His attitude towards the novelistic passage of time serves to further cement his role as an inflexible and monologic character.

Ultimately, we can classify Maxudov as the negative artist. He seems to be unable to communicate outside his artistic profession. Mikhail is more successful due to the fact that he simply does not seem to care about literature anymore. His lack of pretense has made him completely uncritical, and therefore more capable of being truly adventurous. Maxudov, having found the theatre incompatible with his idea of adventure, is far less fortunate.

PERSIKOV

“Fatal Eggs” and Heart of a Dog have been compared as stories about scientists which are also allegories of the Russian Revolution. Ultimately, the reader may conclude that Heart of a Dog makes more sense, has better developed characters and is generally the better story. From a Bakhtinian perspective, however, the most interesting difference between the two stories is one of genre. Professor Preobrazhensky of Heart of a Dog is a more novelistic character in design. Professor Persikov is, on the other hand, utterly classical. This fact is mirrored by the narration. The narrator has a much greater surplus of knowledge in “Fatal Eggs” than in Heart of a Dog. This chapter will focus on genre, but will also address the continuing motif of lights. Also, brief mention will be made of the factor of coercion. The coercive element, although not necessarily the element of violence, would appear to be strongest in “Fatal Eggs”.

“Fatal Eggs” is definitely a novelistic work; however, it incorporates the classical genre into itself to a great degree, especially in the portrayal of its main character, Professor Persikov. Like the majority of Bulgakov’s prose heroes, Persikov is isolated from humanity, in this case, isolated classically. Bakhtin states that, “(t)he foundation for the (classical) type of character construction is provided by the artistic value of fate” (AHAA, 174). It is fate which organizes the hero’s life artistically. This is not fate which is experienced in the world as “an external, irrational force which determines our life regardless of its goals, meanings, and desires” (AHAA, 175). This is a fate which is guiding and guided.

Persikov is the only hero whose death we witness, and, as is the case with the classical hero, his “death is not a termination, but a consummation” (AHAA, 175). He brought the ray of life into the world and his death is necessary to ensure the unrepeatable nature of the classical, fatal incident which the ray portended.

Another interesting classical feature of the structure of the story is the fact that it takes place three years in the future. Bakhtin writes: “we contemplate the Classical hero, from the very outset, in the past, in which there can be no discoveries and no revelations” (AHAA, 176). Although three years in the future is not the same as the past, the function fulfilled by Bulgakov’s device is the same. It places the story in a different chronotope, removing it from the zone of contact with reality, making it less susceptible to modification by contemporary reality. The action in Heart of a Dog, on the other hand, takes place in early 1925, the same time it was written. The basic idea behind the classical genre is that everything happens as it must happen, that everything is pre-ordained and serves a purpose. The heroes of the classical story are not independent and do not affect their own lives through their own actions

The narrator of “Fatal Eggs” is typically classical. Many of his statements point to the end and indicate an order of events which is inescapable. The second paragraph of the first chapter sets the classical mood. The narrator states: “The beginning of the terrifying catastrophe must be set precisely on that ill-fated evening, and just as precisely, Professor Vladimir Ipatievich Persikov must be considered the prime cause” (FE, 42). The story ends with a similarly classical statement from the narrator:

No matter how simple the combination of lenses and mirrored clusters of light had been, the combination was never achieved again... Evidently this required something special, besides knowledge, something which was possessed by only one man in the world - the late Professor Vladimir Ipatievich Persikov (FE, 134).

The fact that knowledge is ineffective underscores the helplessness of the human being in the face of classical fate. Similar fatal and classical statements from the narrator include "in the summer of 1928 the incredible, horrible events took place" (FE, 52) and "To the woe of the republic, this was no talentless mediocrity sitting at the microscope. No, this was Professor Persikov!" and "It was simply very bad luck that this ray fixed the skilful eye of the virtuoso for several seconds" (FE, 59). Feyt, although he does not fit the role of the classical tragic hero to the same degree as Persikov, is referred to in a similar fated tone by the narrator: "Alas! Alas! To the misfortune of the republic, the seething brain of Alexander Semyonovich was not cooled off" (FE, 105).

Persikov the hero is distinguished by many classical fated qualities. The first and most striking quality is the fact that he is absolutely without any Bakhtinian "idea". Indeed, fate and the idea are generally completely incompatible in a hero. Persikov's life, unlike Professor Preobrazhensky's, is devoted entirely to study. He is not subjected anywhere in the story to any sort of Bakhtinian trial or becoming processes. Rather, he discovers a ray of life by mistake and is then quickly robbed of it by the state. For the most part all we know about Persikov is that he is intelligent and diligent. He remains this way for nearly all of the story. Bakhtin states: "with respect to what is most essential, the Classical hero has already become totally determinate and, hence, has perished" (AHAA,

176). This is certainly the case with Persikov who really does nothing throughout almost all of the story. He is a pawn who, from the first page, is already as good as dead.

Another important quality of the tragic and classical hero Persikov is the fact that he is guilty. Ellendea Proffer notes in her dissertation that “it is some unknown person who switches the...eggs. This means that the direct cause of the reptile invasion is an accidental switching of boxes – which seems a little pointless” (MW, 56). This is not the case when the story is viewed in a classical light, as it surely ought to be. Bakhtin notes that “the hero of tragedy is invariably guilty” (AHAA, 178), but that “the hero could commit an offense without being aware of the significance of what he had done” (AHAA 178). This classical guilt, therefore, “is not moral guilt, but the guilt of being...(it has) not the force of meaning that distinguishes moral self-condemnation...and is not born for the first time in the free moral consciousness of the hero” (AHAA, 177-178). This classical quality of guilt is what distinguishes Persikov from such heroes as Pontius Pilate and Mikhail. Simply put, Persikov makes his discovery by mistake, but, as a classical hero, is still guilty. Indeed, he is eventually punished by being put to death.

One other description of Persikov which lends him a classical air is his being described as “inspired and lonely, crowned with sudden fame” (FE, 87). He has not made himself famous, but rather is chosen. Also telling is his reaction when he becomes aware of the catastrophe which has taken place:

“My God...my God,” Persikov repeated...Persikov, turning all colors, bluish white, with insane eyes, rose from his stool and began to scream, gasping for breath... The professor tore off his tie in one swoop, ripped the buttons from his shirt, turned a

terrible livid purple like a man having a stroke, and staggering, with utterly glazed, glassy eyes, he dashed out somewhere. His shouts resounded under the stone archways of the institute. “Anaconda...anaconda,” thundered the echo (FE, 124-125).

Although Bakhtin does not comment on the anger of the classical hero who has realized his guilt, it is safe to say that the themes of insanity, of rending one’s clothes and of invoking the deity are typically classical in origin.

Bakhtin’s conception of the classical aspect of the hero is closely related to, and indeed at times may even be synonymous with, his conception of epic. Bakhtin states: “(I)n ancient literature it is memory, and not knowledge, that serves as the source and power for the creative impulse” (EN, 15). Although it is literature itself that Bakhtin refers to here, the reader notes that in addition to the fact that “Fatal Eggs” is clearly represented as memory by the narrator, memory also plays an important role in the fabula itself. The professor has students whom he fails routinely and mercilessly because of their poor memories. Individual initiative would not seem to be deserving of reward. Anyone who does not measure up to his standards of passive knowledge is rejected. Professor Preobrazhensky, on the other hand, is devoted to experimentation and to active knowledge. This makes him more, and Persikov less, of a novelistic hero.

Bakhtin also state that “(t)here is no place in the epic world for any openendedness, indecision, indeterminacy” (EN, 16). These qualities are not found in Persikov, with the following two exceptions. Firstly, when faced with a scientific mystery he will admit to his complete non-comprehension of what he is seeing. Professor Preobrazhensky shares this quality with him. The world of science is always open and

dialogic for Bulgakov's monologically oriented scientists. It is only here that they admit the fact that they only have part of the truth.

The second occurrence of indeterminacy and indecision comes at the end of the seventh chapter, entitled "Feyt". In fact we see an entire change of genre at the end of this, the most interesting chapter of the entire novel. The shift in genre takes place after Persikov has been forced to surrender his "ray of life" to Feyt and is left alone in his now empty laboratory. When Feyt leaves Fate leaves with him and the setting and characters become thoroughly romanticized and somewhat novelized. Up to this point we have really had no view of Persikov's discourse. He has been depicted only as angry, confused and surprised and his discourse has only reflected these emotions. But, as Bakhtin states, in the novel, "it is impossible to present an alien ideological world adequately without first permitting it to sound, without having first revealed the special discourse peculiar to it" (DN, 335). This is what happens at the end of the seventh chapter. Persikov's special and peculiar discourse is allowed to sound, but only for a very brief time and only partially. Nevertheless it is enough to catch a glimpse of Persikov's alien ideological world and to establish a basis for calling him a novelistic character. Persikov's isolation will be examined a little further before this novel atmosphere is more closely examined.

Like all of Bulgakov's prose heroes, and most of Dostoevsky's, Persikov is, as previously stated, isolated. He seems to have no life outside of the institute. He reads no newspapers. His wife, having found his job completely odious, has left him. In fact there are a couple of other references to Persikov's seeming indifference to women: he tears up the love letters which are sent to him after he becomes famous, and, the narrator points out that he walks through Moscow "not responding to the nudging and soft and tender

enticements of prostitutes” (FE, 87). Very interesting is the fact that, unlike Professor Preobrazhensky, he speaks only his professional language. The narrator states:

he always spoke with assurance, for his erudition in his field was utterly phenomenal...As for any topic outside his field, i.e., zoology, embryology, anatomy, botany, and geography, Professor Persikov almost never spoke of them (FE, 49).

Professor Preobrazhensky, despite his monologic character, speaks of many things besides science. It may be the narrator who best describes Persikov’s situation when he states that “Persikov was very remote from life...he was not interested in it” (FE, 92). This attitude is reciprocated to Persikov by all of the other characters in the novel. The narrator points out that Persikov’s discourse is never taken at full value by anyone: “in general everybody spoke to Persikov either with respect and terror, or laughing indulgently, as though he were a small, though overgrown, child” (FE, 90).

This, then, is the situation in which the reader finds Persikov at the end of the seventh chapter. The reader then sees the following sequence of events unfold:

July twilight was settling over the institute; grayness filled it and flowed along the corridors. From the study came the sound of...Persikov pacing the large room from window to door without turning on the light. It was a strange thing. That evening an inexplicably dismal mood overcame both the people who inhabited the institute and the animals...In the deep twilight the bell rang from Persikov’s office. Pankrat appeared on the threshold and he saw a strange sight. The scientist was standing solitarily in the

center of the room, looking at the tables. Pankrat coughed once and stood still.

“There, Pankrat,” said Persikov, and he pointed to the bare table. Pankrat was horrified. It seemed to him that the Professor’s eyes were tear-stained in the twilight. It was so extraordinary and so terrible. “Yes, sir,” Pankrat answered lugubriously, thinking, “It’d be better if you’d yell at me.” “There,” repeated Persikov, and his lips quivered like a child’s when his favorite toy has suddenly, for no reason, been taken away from it. “You know, my good Pankrat,” Persikov went on, turning away to the window, “my wife... who left me fifteen years ago - she joined an operetta... and now it turns out she is dead... What a story, my dear Pankrat... I was sent a letter.” The toads screamed plaintively, and twilight enveloped the professor. There it is... night. Moscow... here and there outside the windows some sort of white globes began to light up... Pankrat, confused and in anguish, held his hands straight down his sides, stiff with fear...”Go, Pankrat,” the professor murmured heavily, waving his hand. “Go to bed, my dear, kind, Pankrat.” And night came... Later in the evening, close to midnight now, Pankrat was... talking to the sleepless derby on duty...”It’d be better if he killed me, I swear...” “He really was crying?” the derby inquired with curiosity. “I swear...” Pankrat assured him. “A great scientist,” agreed the derby. “Obviously no frog can take the place of a wife.”... From the scientist’s office not a sound could be heard. And there was no light in it. No strip under the door (FE, 96-98).

Twilight, the atmosphere of sentimental and romantic expression, has completely permeated this chapter. Light, ever important in Bulgakov’s work, is muted here. Grayness is present. Indeed, it is animated, it flows through the halls of the institute.

Lights come on outside but are ignored by the Professor. Indeed, the passage, beginning with a reference to twilight, ends with a confirmation of the fact that light has been extinguished entirely. The lack of external light, the light of science and reason so important in this story as well as the ray of life itself, draws the professor into a mood of introspection. He begins to evaluate his existence in a non-scientific light. This causes a shift in genre for “(e)pic disintegrates when the search begins for a new point of view on one’s own self” (EN, 34).

The statement that the Professor makes regarding his wife constitutes an initiation from within of “a sequence of acts determined by meaning and value; (wherein) he is morally culpable and answerable for himself, for his own determinateness” (AHAA, 179). “(T)he category of fate as value (becomes) inapplicable to him and is incapable of consummating him.” (AHAA, 179). Pankrat has been called specifically to hear the Professor out. Since fate has become incapable of consummating him, the Professor, either wittingly or unwittingly, has reached out to the consummating authorial “other” character which is present throughout Bulgakov’s works.

Unfortunately, Pankrat is incapable of imparting consummating discourse to the Professor. Unlike the consummating Genzulaev and Bombardov referred to in the previous two chapters, Pankrat is not even close to being the Professor’s equal in any sense. The only words he utters in return to the Professor’s lament are “Yes, sir”, accompanied by an unspoken desire that the Professor return to his customary, extremely, monologic discourse. Pankrat is terrified by the prospect of dialogic interaction with the Professor. It is, in fact, Persikov who imparts some small amount of consummation to Pankrat by calling him “dear” and “kind”. Persikov is thereby condemned to remain

trapped in his doomed and tragic classical existence. It is telling that in this passage even the narrator, unaffected by the romantic twilit night, relates to the Professor, addresses him in fact, as a small child. He is here objectified by the narrator as well as the characters who always seem to approach the Professor as an object, with a view towards extracting something from him. He is always forced to respond. He is not addressed as another subiectum and his discourse is always objectified. Even Pankrat desires only certain responses from him.

Remorse and repentance are palpable in this passage. This fact necessitates mentioning an important aspect of Persikov's classical nature which has been hitherto unmentioned. Bakhtin states several times throughout his examination of the classical and the epic that the heroes of these genres always act in the light of kin, that the hero's kin constitutes the hero's primary context of value. Bakhtin also notes, however, that "only kinless human beings appear to know repentance in its fullest form" (AHAA, 179). Persikov, although in most respects classical, would appear to be almost entirely kinless. This fact allows him to feel remorse for having driven his wife away, but, even so, he does not really admit to wrongdoing. He does not become as fully novelized as he might and his discourse does not become as dialogically oriented as it could.

A final note we can make about the twilight night relates to the GPU officer assigned to protect the institute and its solitary inhabitant. In his conversation with Pankrat it becomes clear that even the dehumanized "derby" becomes infected with the novelistic romance of the twilit night. He waxes metaphoric on the Professor's situation, saying, "A great scientist... Obviously no frog can take the place of a wife" (FE, 97). Previously this character was only capable of grinning at the Professor and

condescendingly assuring him of his physical safety. His sympathetic co-experiencing in this passage liberates him for a moment from the Stalinist monology which he serves. Unfortunately, he does not communicate with the Professor and the romantic twilight night ends without effecting any real change. The observation he makes that a frog cannot replace a wife is another example of the presence of domesticated animals signifying a crisis in the life of the hero.

From this point on the reader will once again only see the classical and monologic Professor who reacts to his surroundings but never interacts. Along with Pilate and Professor Preobrazhensky, Persikov could be referred to as an armoured hero. All three of these heroes are very isolated and are protected from dialogic interaction with the surrounding world by a sort of monologic armour which they have constructed around themselves. They use fear and power to pre-empt the possibility of being forced to interact with the word of another. They are highly skilled at maintaining this monologic armour, but like all armour it has chinks. For brief moments in the lives of all three heroes the monologic armour is capable of being pierced through a chink. Only then can the penetrative word of another enter. Only briefly is the need for this consummating word expressed and then the hero shifts, the chink is once again covered, and the moment of consummation is irretrievably lost. In Persikov's case the moment is lost when he sends Pankrat to bed and remains alone in his office in darkness.

The theme of light is not as pervasive in "Fatal Eggs" as it is in Theatrical Novel; however, there are still a few points worth making. The most obvious observation which can be made is that the red ray itself is not produced by the sun, but only by electric light. Heavenly bodies, as dialogic symbols, do not have any association with the highly

classical, Pandora's box-like force which the ray represents. Indeed, the image of a ray, linear and uni-directional, is highly reminiscent of the monologic. Unlike the operation which transforms Sharik, the ray produces not a talking man but a sinister and voiceless collection of monsters. In addition to the ray, a very sunny August day is referred to in chapter seven. As this is troublesome to the Professor, the shades are simply lowered. The moon is also referred to a few times, but "neither the moon nor Moscow's springtime noises interested Professor Persikov in the slightest" (FE, 53). The lights of the city are much more impressive. The city would seem to be filled with electric light and fire.

The prevalence of electric light is concordant with the character of the inhabitants of Moscow. It has been posited that an electric light can represent a monologic force and a single point of view, as opposed to a sun or a moon which more closely represents a dialogic illumination of a subjectum. A similar dichotomy can be drawn between the mob and the community. The Bulgakovian community, such as the community of the theatre in Theatrical Novel, is dialogic and interactive. It is often carnivalized and quite funny. The Bulgakovian mob, such as is represented in "Fatal Eggs", in the Yershalaim chapters of The Master and Margarita, and also in the play "Moliere", is monologic and frightening. It is a monologic mob that lives in Persikov's city and not a community. Indeed, it may be that we can consider the mob as a sort of replacement for the curiously absent classical element of kin in "Fatal Eggs".

At this point we can draw a striking comparison between Bulgakov's novel and an American work entitled The Day of the Locust by Bulgakov's contemporary and fellow satirist, Nathanael West. In both stories an extremely isolated man, in Bulgakov's story, Persikov, and in West's, Homer Simpson, commits a crime, is judged by the mob to be

guilty and is then quickly executed. They are both ripped apart. In both stories the mob constitutes the population of a wild, unpredictable city. In Bulgakov's Moscow this wildness and unpredictability is largely traceable to the New Economic Policy. In West's Hollywood the chaos is due to the combination of the intense glamour of the film industry with the crushing emptiness of the life of the city's inhabitants.

A final note will be made on the coercive element in "Fatal Eggs". If we discount the element of classical fate for a moment, it is enough to say that in this story it is the state who has ultimate control over the characters. Persikov, despite his isolation, is not fool enough to argue with the voices which telephone him from the Kremlin. When Feyt approaches him with official orders to surrender his invention Persikov makes a token effort at resistance, but, when faced with the power of the state, realizes he has no choice but to acquiesce. There is also a pronounced military and police presence in this story. Armies march through the streets of Moscow and new powerful and destructive weapons are used. Persikov is even somewhat obliged to the coercive power of the state, which dispatches GPU agents to stand guard over the institute. These sinister legions are a far cry from Crime and Punishment's dialogically gifted and clever cop Porfiry Petrovich whom Bakhtin lauds in Problems of Dostoevsky's Poetics. The reader can note that Professor Preobrazhensky, despite the fact that he too lives under a monologic system, is quite capable of using the coercive power of the state to his own advantage when he wants to get rid of interlopers in his domain. This point will be discussed in the next chapter.

PREOBRAZHENSKY

Heart of a Dog is the most violent of all of Bulgakov's prose works. It is a brutal Juvenalian satire which ranks with the works of George Orwell, Aleksandr Solzhenytsin and Jonathan Swift in terms of its depiction of hopeless human depravity and bottomless hypocrisy. Heart of a Dog is a satirical novel, however, other than that not much of it will be discussed in terms of genre, especially as it relates to its hero, Professor Preobrazhensky. There are some interesting features which make this novel stand out as more of a concentrated work than Bulgakov's other prose stories. Firstly, there is very little mention made of the city outside Filipp's apartment, especially after Sharik's first operation. Moscow as an entity is not assigned any value and is not addressed, in a Bakhtinian sense, by the characters. Secondly, there is very little mention of outside personages in the novel. With the exception of Marx, Engels and Kautsky and a couple of former tenants of the Kalabukhov house, nearly everyone mentioned in the text is an actual participant in the plot, enters Filipp's apartment and falls under its influence. Heart of a Dog takes on the qualities of a fable, albeit a novelistically and satirically presented one. The fabulous story unfolds almost entirely in Filipp's apartment and monologic world. It becomes a study in monology. This will be the main focus of this chapter.

In Problems of Dostoevsky's Poetics, Bakhtin states:

In an atmosphere of philosophical monologism the genuine interaction of consciousnesses is impossible, and thus genuine dialogue is impossible as well. In

essence idealism knows only a single mode of cognitive interaction among consciousnesses: someone who knows and possesses the truth instructs someone who is ignorant of it and in error; that is, it is the interaction of a teacher and a pupil, which, it follows, can be only a pedagogical dialogue (PDP, 81).

A page later he states: “(the) faith in the self-sufficiency of a single consciousness in all spheres of ideological life...is a profound structural characteristic of the creative ideological activity of modern times” (PDP, 82). These two statements describe exactly Filipp’s monologic world. The nature of this world is perhaps best expressed early on in the book, in the second chapter, in the account of Filipp’s meeting with Shvonder and the representatives of the house committee. Outside his home these people may do whatever they please, however, once they enter the apartment Filipp begins to monologize. The dialogue between them is dominated entirely by the Professor. He begins by defining them, asking an effeminate looking youth if she is a man or a woman. After answering that she is female, thereby conforming to a category proscribed by Filipp, the remaining three are ordered to remove their headgear. Filipp also monologizes by referring to the men by their pre-revolutionary titles in direct contravention of their Marxist sensibilities. In this way, upon entering Filipp’s domain, the four are “given” their gender, their names and their appearance by the monologizing authority.

Filipp continues to speak with the four youths until he decides that he has had enough and gets angry. At this point he makes contact with the second Stalinist monology, the outside monology whom the four represent, by telephoning someone in authority in the government bureaucracy. The dialogue he has with this authority is very

interesting from a Bakhtinian perspective. It is, incidentally, a conversation of which the reader hears only one side. The dialogue is filled with ironic and double-voiced intonation. The first, the direct recipient of his discourse, is the bureaucrat whose office he has telephoned. The second and indirect recipient of his discourse is the group of young Marxists standing in his apartment. The first two of the three paragraphs which make up this paragraph are extremely ironic. Filipp has no intention of giving up his practice, although he threatens to do so. He is merely making a safe gamble that the person to whom he is speaking will acquiesce to his wishes. In the third paragraph, however, he becomes deadly serious. This third paragraph, after Filipp has agreed to continue practicing, is extremely telling of and indicative of Filipp's view of himself and of his dominion over his quarters:

What? Hm... If you wish. Very well. But on one condition: I don't care who, when, or what, but it must be an order that will make sure that neither Shvonder, nor anyone else will be allowed even to approach the door of my apartment. A final and definitive order. An absolute one! A real one! Ironclad. So that my name is never mentioned again. Finished. I'm dead to them (HD, 28).

Upon an attempted re-opening of the discussion by the young woman, Filipp responds by politely saying "Excuse me, you don't intend to open this discussion right now?" (HD, 29)

Here Filipp has effectively removed himself from the dialogue in which the young Marxists wish to engage with him. He has sealed off his monologic world, successfully defended it against attack, and built additional defenses as well.

This is Filipp's predicament. His monologic world exists at the whim of the larger, surrounding Stalinist monology. The reader also notes that Filipp lives and works in the same place. This serves to further consolidate Filipp's monology. All areas of his life are spatially compressed into seven rooms and, therefore, easier to control. Pilate would appear to be in a like situation, but he refers to a second home on the Mediterranean, a place of refuge.

Sharikov represents a threat to the stability of Filipp's monologic world. Unfortunately, Filipp's apartment never becomes carnivalized and free familiar contact is never allowed. This, from a Bakhtinian perspective, is negative and is depicted as such. However, the satirical aspect of this situation lies in the fact that Sharikov is a thoroughly odious and dangerous individual. Nobody would ever want to enter into free and familiar contact with him.

Names, titles and other forms of address are important tools used monologically by Filipp and by the other characters in this book. Filipp controls forms of address in his domain. Interesting is the fact that he refuses to call Sharikov by his name and patronymic: "No!...I will not permit such a name and patronymic to be pronounced in my home...I will call you 'Mr. Sharikov'" (HD, 95). Filipp becomes angry when Sharikov addresses Zina in a diminutive form: "Don't dare to call Zina Zinka!" (HD, 69). He becomes angry enough to change colour when Sharikov addresses him as a father: "Who's your dad here? What kind of familiarity? I never want to hear that word again!" (HD, 70).

Filipp is hostile not only towards the penetrative spoken word of another, but also to the written one. Like Persikov he also disparages newspapers, although we do see him

reading one once to find out what is being reported about Sharikov. He expresses a strong dislike for documents at Sharikov's "christening", saying, "I'm against getting those idiotic documents, anyway" (HD, 76). Also interesting is the fact that he burns both the calendar from which Sharikov gets his hated name, as well as the copy of Engels which Sharikov has been reading. This burning of another's word is very telling of Filipp's character from a Bakhtinian perspective. However, like Fate with a paper in "Fatal Eggs", Poligraph with a document must ultimately be accepted by the monologic Filipp.

On the subject of another's word it is interesting to note at this point that Filipp does at one point suggest to himself that a certain book might be appropriate for Sharikov. The choice of book is striking: Robinson Crusoe. Filipp Filippovich, knowingly or unknowingly, has suggested what is arguably the most monologic novel in all of English literature. From beginning to end Robinson Crusoe is a book which emphasizes and glorifies absolute and unquestioning submission to authority. All of its characters, without exception, are rewarded for obedience and punished for disobeying or even questioning the divinely ordained order.

Filipp is extremely upset by Sharikov's first ventures into human speech, that is, by his swearing and insults. The aggressive nature of the polemically dialogic relations between the two is expressed quite well in the following passage:

When the professor told him: "Stop throwing food on the floor," he unexpectedly answered: "leave me alone, louse." Philip Philippovich was stunned, then he recovered and said: "If you permit yourself to insult me or the doctor again, you'll get

it.” I photographed Sharik at that moment. I swear that he understood the professor’s words. A sullen shadow fell on his face. He gave us a scowling look from under his brow, but became quiet. Hurrah! He understands! (HD, 62)

The question arises: what exactly is it that Sharikov understands here? Is he beginning to understand what Filipp is saying, or is he gaining a comprehension of the way the monologic world works? In this passage we see an order and an admonition which leads to an insult which leads to a threat which leads to a silent scowl. Sharikov here begins to construct his own monologic walls. He withdraws from the dialogue with Filipp, realizing that the Professor and the Doctor cannot repudiate what he does not say. Indeed, the fact that both Bormenthal and Filipp often combine their voices to repudiate Sharikov is quite important from a dialogic and also from a satiric point of view. The situation in which several voices are used polemically against one is an aspect of discourse not addressed by Bakhtin. It is also a situation utilized to great effect by the most highly skilled satirists, perhaps to its best effect by Joseph Heller. Especially in Heart of a Dog is this scenario prevalent. Bormenthal and Filipp are portrayed many times “ganging up” on Sharikov, using both of their voices and both of their intellects against him. Dialogic theory is useless in such situations; however, from a satiric angle they are impossible to leave out of the verbal work of art because they are mimetic and depict reality in its true colours. The willingness of people to combine their strength in order to vanquish an unruly individual is one of the most basic and predictable of human hypocrisies. As such it has always provided much material for satirists like Bulgakov.

A monologic atmosphere clearly pervades all of the novel. There are other examples of it worth mentioning, but we will now turn to what we might call Filipp's status as an impoverishing theorist. The atmosphere of monology in Filipp's apartment is created precisely by his impoverishing theory. Bakhtin designates many theories as impoverishing because

they seek to explain the creatively productive event by reducing its full amplitude. And they do so, first of all, by reducing the number of its participants: for purposes of explanation, the event is transposed in all its constituents to the unitary plane of a single consciousness, and it is within the unity of this single consciousness that the event is to be understood and deduced in all its constituents. What one gains in this way is a purely theoretical transcription of an already accomplished event. But this gain is achieved at the cost of losing those actual creative forces which generated the event at the moment it was still being accomplished (AHAA, 87).

It is in this way that Filipp views life in general. In the third chapter we hear a sort of manifesto from Filipp at the dining-room table. Throughout it Filipp asks seventeen questions, mostly relating to the application of Marxism to Russian society, all of which he answers himself. He finds that there are many serious problems in Soviet Russia and his solution to these problems is very monologic. He suggests that what is needed are police. In fact, he suggests that there ought to be one policeman for every citizen in order to subdue their "vocal impulses" (HD, 38). In general, he does not understand why there is

so much disorder and deterioration in the world which surrounds his apartment. He states:

the rack and ruin are not in the bathrooms, but in the heads. And consequently, when these clowns begin to shout, 'Fight economic ruin!' I must laugh...everyone of them should whip himself on the head! And when he knocks all the hallucinations out of it...the general ruin will disappear of itself (HD, 37).

Filipp may of course be right in what he says. He also polemicizes with theories here and this is not entirely negative. However, throughout his diatribe he is basically constructing his own theory, a theory of Filipp Filippovich which must be put into practice in order to achieve harmony in the world. The fact that he condones violence in order to maintain this harmony gives his philosophical theory a sinister tone. The fact is, that by rejecting all other theories and constructing his own which is based on individual initiative, he is in fact removing the individual from his equations. He does not see the other person as an independent individual; that is, he does not ask the question, why do they do what they do? Rather he superimposes his own individuality onto the "other". He asks the question, what would I do in their situation?

This is his impoverishing theory: everybody should do their jobs and leave everything else to take care of itself. Of course, irony is provided by the fact that in a lot of cases he may be entirely correct. Ultimately though, from a Bakhtinian perspective, the theory is faulty because it is, like most theories, inflexible. Sharikov himself may provide the best criticism in this case when he says "(a)ll those rules you keep to, always on

parade...but for the real thing, it isn't there" (HD, 87). Indeed, Filipp, calling himself "a man of facts, a man of observation... an enemy of unfounded hypotheses" (HD, 34-35), and a drawer of conclusions, forgets the most important thing, namely, that he is not a participant in the actions of which he speaks, and is, therefore, an imperfect viewer of reality, ensconced in his apartment and making judgments.

Bakhtin's theories are not known for their effectiveness in addressing questions of coercion and violence. According to Holquist, in his introduction to the collection of Bakhtin's essays entitled Art and Answerability, this is probably the most common of the criticisms directed at the theorist. Reference is made to it as a matter of course in the introductions and prefaces to most of his books. This peculiarity or failing of Bakhtin's theories is shown up to great advantage in Heart of a Dog. By the end of the story the reader finds that Filipp is in fact a violent and coercive individual, and indeed, a hypocrite. Although Bakhtin often focused his examinations on methods of the exposition of hypocrisy, he rarely dealt with hypocrisy itself as a discursive phenomenon.

Filipp makes several references throughout Heart of a Dog to his supposed opposition to violence as a means of correction. This repetition serves to compound his hypocrisy. Only the first will be quoted as it is the most comprehensive:

(kindness) is the only method possible in dealing with living creatures. By terror you cannot get anywhere with an animal, no matter what its stage of development. I've always asserted this, I assert it today, and I shall go on asserting it. They are wrong thinking that terror will help them. No-no, it won't... Terror completely paralyzes the nervous system (HD, 16).

Three pages later the reader hears Filipp say “I’ll thrash you!” to Sharik when the dog is not quiet in his examination room. This is the first example of Filipp’s hypocrisy, but it is, for the most part, allowed by the reader to pass unnoticed as a figure of speech or merely as an interjectory statement. More disturbing is the image, occurring later in the story, of Filipp threatening to withhold food from Sharikov. This happens twice.

Filipp’s words, as directed at Sharikov, are generally quite aggressive in their tone. Indeed, they constitute an ever-present precursor to the final act of violence perpetrated against Sharikov at the end of the story. Sharikov, in one of his finer moments, points out Filipp’s hypocrisy admirably:

“I can’t seem to understand it,” he said gaily and reasonably. “I’m forbidden to swear. I’m forbidden to spit. But all I hear from you is ‘fool’ and ‘fool’. I guess only professors are allowed to use insulting words in the Ar-es-ef-es-ar” (HD, 74).

There are several other instances of Filipp’s hypocrisy in Heart of a Dog; however, the crowning moment comes at the end of the last chapter and in the epilogue. It is here that we see both Filipp at his basest and also a shocking return to the absolute and monolithic monology which Sharikov had threatened.

In the last pages of the last chapter Sharikov, having been found out as an informer, threatens Filipp and Bormenthal with a gun. They respond by subduing him and, ostensibly, performing a second operation on him. It is extremely apropos that the reader does not witness this forcible transformation of Sharikov from a man back into a dog. The

harshest of monologic actions, most notably those performed by the state, are generally always carried out in secret, away from the eyes of the public which the reader, in this case, represents. It is in secrecy and silence that hypocrisy and coercion thrive. Indeed, the narrative places a great emphasis on the fact that nobody but Bormenthal and Filipp really know what happened in the apartment that night. Much emphasis is also placed on the silence of these proceedings. "Silence shrouded the apartment" (HD, 118) is one expression that is used. Indeed, the last idea expressed in the chapter is that despite the fact that it is not really known what happened that night, "one thing can be vouched for: the apartment that evening was totally and frighteningly quiet" (HD, 118).

The epilogue contains some interesting statements. When questioned about Sharikov, who is now referred to again as Filipp's dog, the Professor offers the following statement: "You mean he spoke?... But this does not yet mean being a man" (HD, 120). Later, after Sharik has been brought out, Filipp notes that "(h)e still speaks, but less and less. I would suggest you take advantage of the moment, because he'll soon grow silent altogether" (HD, 121). The transformed creature himself makes only one statement: "No indecent language here!" (HD, 121). These three statements all indicate a total return to the monolithic monology of Filipp Filippovich. They are all three anathema to Bakhtin's dialogic theories and, as such, utterly refute any notion of the existence of true understanding in the hollow heroes of this novel.

The element of satire is compounded, however, by the fact that Sharikov is anything but an innocent victim. He is an informer who takes pleasure in killing. Indeed, it is hard to imagine the two scientists reacting in a different manner when faced with his sneaky betrayals and outright violent threats. It is easy to condemn Filipp's ersatz

pacifism until we realize that in order to avoid being a hypocrite he would probably have to give up his life. The reader, himself satirized, is at a loss to propose a nobler end to the story. This is an extremely novelistic sort of conclusion, open-ended and absolutely opposed to any sort of higher moral order. Indeed, the conspicuously jolly and comical tone of the police investigation of the apartment serves to bring all the characters, and the reader too, down to a common level. We cannot really condemn Filipp. In fact, it is all too easy to find the entire diabolical situation somewhat funny. The last page of the novel finds Sharik dozing happily in the apartment. Filipp is back to his monologic business. Everyone is contented except the reader.

As regards the consummating other in Heart of a Dog, Filipp is sadly left in much the same predicament as Persikov. He allows his internal consummated being to show for a brief moment, but, as in Persikov's case, the moment passes without any entry of an outside force into his being. No organizing aesthetic energy is present to make his life tragic, comic, beautiful or sublime. The moment occurs in the eighth chapter and is perhaps present only during the words which he utters in his conversation with Bormenthal: "In fact, you know, I am so lonely" (HD, 100). Bormenthal, although much closer to Filipp than Pankrat is to Persikov, is still far from being the Professor's equal. He does not react aesthetically as Bombardov and Genzulaev do. He does not supply additional transgredient moments for Filipp as the artists' equal companions do. He says "Philip Philippovich, how can you?... Don't speak of such things to me again if you don't want to offend me" (HD, 100). This reaction, although compassionate in tone, is far from consummatory. It does little to place Filipp in his aesthetic environment, but rather leaves him in his lonely horizon. Of course, the fact that Bormenthal is at this point much more

interested in plotting Sharikov's murder than in anything else probably does a lot to reduce the possibility of aesthetic consummation.

It is Sharik the dog who provides the best aesthetic image of the Professor. Once again the presence of a domesticated animal functions as a symbol of isolation.

Nevertheless, Sharik's aesthetic sensibility is indeed quite astonishing:

A gentleman. Do you think I judge by the coat? Nonsense... No, it is the eyes I'm talking about. When you look at the eyes you can't mistake a man, from near or far. Oh, the eyes are an important thing. Like a barometer. You can see everything in them - the man whose soul is dry as dust, the man who'll never kick you in the ribs with the tip of his boot, and the man who is afraid of everything himself... Oh yes, you can tell everything about... (t)his one... But the smell he spreads through the snow is rotten (HD, 5-6).

Unfortunately, despite his aesthetic gifts, Sharik is unable to communicate with the Professor in a human language. Like Pankrat, he is unable to respond in any tone except one of obedience. This destroys the possibility of dialogue and hence of consummation. Sharikov the man is far too self-interested to function as a consummating other for Filipp. He also learns early on that it is difficult to tell the Professor anything to which he does not wish to listen. These two facts exclude him from the position of consummating other.

As is the case with Persikov, Filipp lets his unconsummated and confused inner being show for a moment through a chink in his exterior. Then the armour shifts, the chink is covered again, and the Professor returns to his old reasonable discourse. This one

brief display of internal unconsummatedness greatly deepens our perception of Filipp and makes him much more of a novelistic character. It would otherwise be quite easy to see Filipp as a hero who is purely arithmetical or two-dimensional in design. He seems to react only externally to outside stimuli. He gets angry and annoyed, but would seem incapable of being wounded, of being in need of the “other”. When external stimuli are removed he would seem to revert exactly to his previous state. This is what the reader sees at the end of the story. Filipp is back to his old business, searching and searching for new information, humming his old song as always. Now, however, the reader has a new perspective on the hero. We know that despite his seeming tranquillity he is extremely lonely. This fact makes him a hero in a novel rather than simply a character in a fable. He is consummated from without although he is left isolated from within.

Finally, we will discuss the motif of light. Electric lights, although present, are not assigned much value in this novel and so are not of much interest. We can note, however, that there is a total physical absence of both the sun and the moon in Heart of a Dog. This is an extremely odd circumstance when considered in the light of Bulgakov’s entire oeuvre. We could posit that Filipp’s apartment is so completely monologized that, in a metaphorical sense, not even the ideologically emblematic sun and moon shine on it. It is only a solitary star, called the Prechistenka star, that shines down on the hero of Heart of a Dog.

Sharikov’s role becomes significant in the matter of light. The novel’s only mention of the sun occurs in a recollection he has in a state of extreme terror minutes before his operation:

But suddenly his angry thoughts broke off. For some reason, a vivid fragment of his earliest youth rose in his memory: a vast, sunny courtyard near the Preobrazhensky turnpike, splinters of sun in bottles, cracked bricks, free, stray dogs. Oh, no, why lie to yourself, you'll never leave here, you'll never go back to freedom, the dog spoke to himself in anguish, sniffing. I am a gentleman's dog, an intellectual creature, I've tasted a better life. And what is freedom, anyway? Nothing, a puff of smoke, a mirage, a fiction...(HD, 48).

Here we see the sun associated with freedom, with space, with the deterioration of formed and uniform objects (the bricks), and, perhaps most interestingly, with strayness; that is, with the idea of not fitting in, of being outside of systemic organization. All of this can definitely be perceived as emblematic of polyphonous life, and is antithetical to the kind of monology which Filipp, the man of facts and observation, the enemy of unfounded hypotheses, represents. The sinister nature of Filipp's monology is underscored by the fact that it is pleasant to live in it; Sharik does not want to leave.

One can see an element of carnival in the fact that it is a vast courtyard which Sharik remembers. This is reminiscent of Bakhtin's notion of the carnival square. Incidentally, another strong carnival motif can be found at the very beginning of the story when the reader first finds Sharik lying in a doorway or threshold. The threshold is, in carnival symbolism, indicative of transition and change. When Sharikov leaves the threshold to follow Filipp he gives up the ambivalent carnival nature inherent in him. This last recollection of the vast and sunny courtyard is only a vivid and melancholy recollection.

The moon, mentioned in a recollection by Sharik once in the first pages of the novel, makes only one other appearance, directly after Sharikov's transformation:

The very persistent sounds of a balalaika, played with reckless ease, came from behind two walls, and the nimble, complicated variations on "The Moon is Shining" mingled with the words of the news item, creating a loathsome hodgepodge in Philip Philippovich's head. When he finished reading, he spat drily over his shoulder and mechanically began singing through his teeth: "The moon is shin-ing... the moo-n is... The moon is shining... Phew, can't get rid of that damned tune!" (HD, 67).

Here we see that Sharikov, despite his overall loathsomeness, does still act occasionally as a dialogic force. He brings the moon into Filipp's monologic domain, and forces him to acknowledge it in the most mundane way; that is, in the manner of a tune which gets stuck in the head and annoys the rational part of consciousness with its senseless persistence. The very centre of Filipp's controlled environment, his mind, is forced to deal with the outer luminary and with exterior light. Simply put, Filipp is used to being his own sun and his own moon in his seven rooms. Sharikov is a threat to his monopoly of illumination.

Also interesting are Sharikov's clothes in the first few days following his transformation. Of them and of Filipp's reaction to them the narrator notes:

The color of the tie was so garish that even when he closed his weary eyes from time to time, Philip Philippovich saw in the total dark... a flaming torch with a blue corona.

When he opened his eyes he was blinded again by the glittering fans of light shooting up from the floor from the patent shoes with white spats (HD, 68).

Here again we see that Sharikov, although not a direct source of light, functions as a reflective surface which illuminates his benefactor from without. His shoes are like the song about the moon. Both force Filipp to acknowledge other sources of illumination besides his own intellect and the impoverishing theories produced by it. In relation to this point it is interesting to note that, by the end of the novel, Sharikov has switched to leather clothes and English boots.

As a final note concerning light, it is not entirely far-fetched to theorize that the total physical absence of natural light in Heart of a Dog lends a certain vampiric quality to Filipp. Certainly the operation formed on Sharik is reminiscent of a vampiric attack in its bloodiness. Filipp is even referred to as a “satiated vampire” (HD, 55) after the operation. Indeed, during the operation the narrator notes that “his teeth were bared to the gums” (HD, 54). The significance of all this lies in the fact that the vampire is probably the most monologic of supernatural monsters. He imposes his will on his victims, draining them of the power to react and resist before he drains them of their blood. Vampires, of course, are invincible to nearly everything except the sun, and in Filipp’s case, also the moon. For this reason they avoid it.

This concludes the chapter on Heart of a Dog and its hero Filipp Filippovich. It is problematic from a Bakhtinian perspective because it is so viciously satirical and violent. We would not want to enter into a dialogue with any of the characters in it. They are none of them very reliable or pleasant individuals. We feel a little sorry for Sharikov, the

victim of Filipp's hypocrisy, but then we remember what a scoundrel he is and pathos soon fades. We loathe Filipp for being a hypocrite and a murderer, but then we ask ourselves whether we would have acted any differently in his situation and our righteousness disappears. The merry, slapstick tone of the epilogue imparts the feeling that all is well, even though we know it is not. This is the effect of Juvenalian satire, which Heart of a Dog is first and foremost. Ultimately, from the Bakhtinian perspective, what is of greatest value in this novel is the realization that the introduction of a loaded gun into any dialogue will quickly put an end to all meaningful understanding and polyphonic interaction. Force of arms will always inevitably replace heteroglossia with the same sort of silence which enshrouds the apartment on Prechistenka on the last page of the last chapter of Heart of a Dog.

CONCLUSION

The Master and Margarita, and most notably the figure of Pontius Pilate have not been given a chapter of their own in this thesis. However, many of the themes discussed in relation to Bulgakov's lesser known heroes find their culmination and are used to their greatest effect in Bulgakov's last novel and masterpiece. We will make a brief examination here to show how the themes continue and are renewed in the final work.

The motif of light, for example, is present throughout the Yershalaim chapters. The sun and the moon never seem closer than when they shine down on the procurator of Judea. The sun takes on new meaning as an emblem of polyphony when we see it shatter into pieces at the precise moment that Pilate pronounces judgment on Yeshua, thereby destroying the possibility of dialogic understanding in his own life, and sentencing himself to two millenia of isolation. The moon as well gives him no peace. It will not allow him to withdraw from the dialogue with Yeshua. It keeps him awake, and even when he sleeps he dreams of a pleasant and charming disagreement with Yeshua on a walk along one of its beams. This notion of a charming and pleasant disagreement may be one of the best images in Russian literature of Bakhtin's conception of the dialogue.

As regards the carnival sense of a great city, no place is as filled with inversion and disorder as Bulgakov's conception of Jerusalem.

As in many other works, the hero Pilate is closely associated with an animal, his beloved Banga. This dog loves him deeply, sympathizes with him, but, is unable to empathize and to consummate. The image of the relationship between human and animal

is so filled with hopelessness and isolation in Bulgakov. Yeshua, Pilate's aesthetic consummator, points this out, saying, "one shouldn't lavish all one's attention on a dog. Your life is impoverished, Hegemon" (MM, 18).

This state of impoverishment is linked directly with Pilate's experience of consummation from without by the other. Like the other successful consummating figures, Yeshua is close to the borders of the world he inhabits. He is homeless, has no knowledge of his parentage and is very poor. The fullness of his consummation of Pilate is such that we suspect it is supernatural in nature, although Yeshua does give an explanation of his intuitive adroitness. The fact that Yeshua is modeled after the figure of Jesus causes the reader to suspect that he has some special power like Woland and his retinue. However, in the view of this thesis, we can in fact see him as something even more remarkable. He is a man so gifted with aesthetic capability and love of the other that he can detect the subtlest shifts in a man's outward expressedness in being, diagnose dialogically his inner pain and impart to him with great accuracy and sensitivity, an overwhelming joy of being known. The situation which transpires in the Palace of Herod the Great is the exact opposite of that which takes place in the lair of the underground man. Terror of being known is replaced by what Bakhtin designates as the most passive of human reactions: joy. Unfortunately, Pilate is unable to accept this consummation and condemns his joy to death.

These are only the basic points of only one component of the plot of The Master and Margarita viewed from a Bakhtinian perspective. In a later essay or dissertation I plan to examine the dialogic aspects of this novel more fully.

The four works discussed in this thesis show that Bulgakov was keenly attuned to the dialogic relations between people in a way similar to Dostoevsky. There are, however, some key differences between the visions of the two writers.

Firstly, Dostoevsky often employed the motif of compelling a character to converse with his double. This double often illuminates the consciousness of the hero by bringing to the forefront aspects of the hero's dilemma which he already knows, but which he is incapable of facing. In Bulgakov we often find the presence of a consummating other. This is not a double who merely proposes a different way of viewing a problem. Rather, the consummating other provides transgredient moments which are entirely unknown to the hero until they are brought to his attention. Strangely and sadly, the consummating other is sometimes not found, as is the case with the classical Persikov. Or else he is killed, as is the case with Pilate. Sometimes, strangest and saddest of all, the consummating other is an animal, like Banga or Sharik.

The second main difference lies in the fact that Bulgakov was a satirist. Because of the epoch he worked in he often took into account the violence and coercion of the state. Violence, meanness, baseness, the absence of virtue, the confusion of life and the death of innocence are aspects of existence which the satirist cannot ignore. A story in which not a single purely virtuous notion is to be found is not really characteristic of Dostoevsky's oeuvre, and yet this is exactly the kind of story Heart of a Dog is.

Bulgakov's stories are often studies in monology rather than exercises in dialogue. This is due in part to the fact that Bulgakov's protagonists are authors as well as heroes. They have professions as well as ideas. Dostoevsky's heroes, when they have jobs at all, are rarely depicted at work, but more often only at leisure. Bulgakov's

professionals experience a greater need to keep a firm monologic control over themselves and their surroundings. They rarely give themselves over to grand philosophical experiments and even more rarely fall in love.

The importance of consummation from without by an authoritative but equal figure may be, from a Bakhtinian perspective, the most interesting aspect of Bulgakov's work. It cannot come from an animal. Nor can it really come, at least in lived life, from a god. Bulgakov the satirist knew that far too many prayers go unanswered. After death the situation may be different, but on earth the other must be an equal. In the final analysis, we can conclude that Bulgakov's prose works are quite receptive to a Bakhtinian analysis. However, his satirical sensibility demanded that he bring to light the senseless, the ugly and the silent as well as the profound and polyphonic in his works. He portrays more mimetically than Dostoevsky. Bakhtin makes much of the function of the grotesque in the development of the European novel. Bulgakov, on the other hand, brings to light the fact that the grotesque, although it should not be ignored, is often utterly functionless. He brings this fact to light, however, in an extremely artful manner. He does not lead his reader into total despair. The sun and the moon continue to shine.

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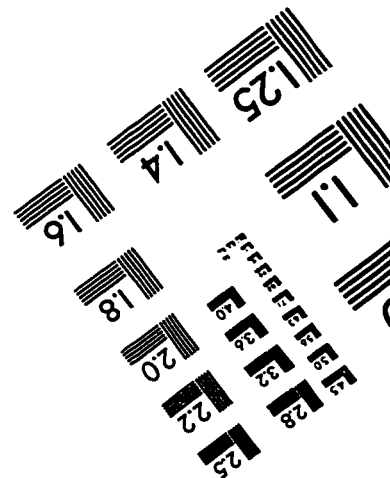
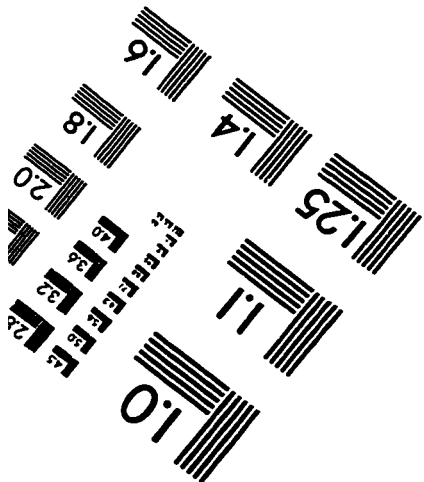
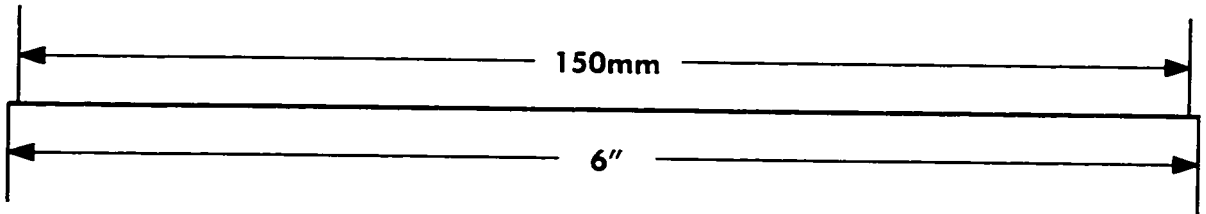
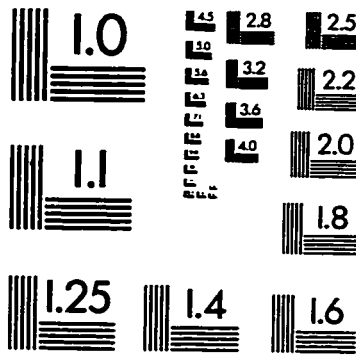
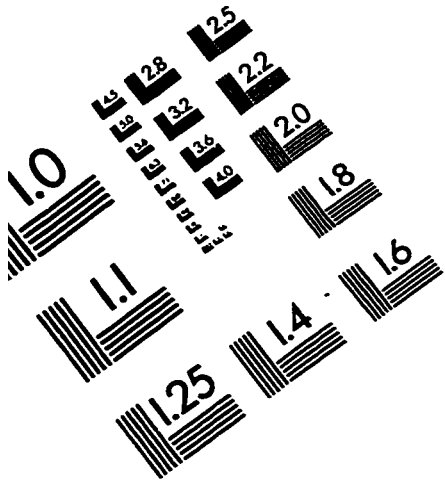
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