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May 26, 1950

DATE

THE TECHNIQUE OF THE
NOVEL OF CARICATURE

Thesis committee

C. V. Wicker.

CHAIRMAN

George Arms

Norton B. Crowell

THE TECHNIQUE OF THE NOVEL OF CARICATURE

BY

Ralph Herbert Delzell

An Abstract of a Thesis
In partial fulfillment of the
Requirements for the Degree of
Master of Arts in English

The University of New Mexico
1950

for Dr. Wicker, because he allowed me to write the kind of thesis I wanted to write, because he encouraged me in the writing of it, and because he gave me an A in English 64 - a turning point, I think. If I hadn't gone into English I wouldn't have met Marjorie, if I hadn't met Marjorie I wouldn't have written a thesis, and were right back where we started.

Thanks for everything.

Ralph

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THE TECHNIQUE OF THE NOVEL OF CARICATURE

In the novel a caricature is a character whose idiosyncracies are exaggerated so that all other traits he might possess are obscured. Although caricatures may appear occasionally in novels of any type, one type of novel seems to be based on considerations more relevant to the caricatures which appear in it than to any other feature of the novel. The novel of caricature is basically a realistic novel which exaggerates the single outstanding trait of each individual instead of presenting a complete analysis of all factors in any one personality. The purpose of the novel of caricature is didactic; it attempts to reform society through making follies and foibles seem ludicrous.

The novel of caricature may make its appearance at any time, but its inception and perhaps its highest point in English literature seems to have been in the eighteenth century with Fielding, Smollett, and Sterne. Throughout this study examples have been drawn from the three eighteenth century English authors, but they are intended to be representative of all novels of caricature in point of general method, if not of specific application of the method.

Because it intends only to present the outstanding trait and to show that trait in action, the novel of caricature makes no provision for change or growth in any of its characters. It thus limits itself in its ability to analyze society in action, since society in action is best shown through its effect upon an individual member of that society. The novel of caricature aims at a complete description

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of society through presentation of the representative types of men and through an exhibition of the individual traits of types of men. In description, if not in analysis, of society it is potentially superior to most other methods of novel-writing.

In order to cover as large a segment of society as possible, the novel of caricature concentrates on the presentation of a multitude of minor characters whose function it is to exhibit a single idiosyncrasy. Most of the minor figures of a novel of caricature have no place in the story and are dismissed when they have fulfilled their immediate purposes. Some expanded minor figures appear many times but exhibit the same characteristics which control the presentation of incidental minor figures. All minor figures have a single outstanding trait, presented realistically and with attention to the actual actions of mankind, which they display consistently in situations which the author carefully constructs to conform with the idiosyncracies of the individuals involved in the scenes.

The plot structure of the novel of caricature may vary from the utilization of an adventure story framework to the use of a plotless journey by a character who is not an object of satire. Regardless of the type of plot structure which it follows, the novel of caricature has its inception in the corrective intention of the author, and its major characteristics are determined by that corrective intention. Even the treatment of the major figure is determined by the general characteristics of caricature, since he must be vivid

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in order to compete with the minor figures whom he encounters and must be comparatively simple in order to avoid seeming a complex monstrosity in a simple world.

The characters of a novel of caricature must be consistent, and in their consistency lies their excellence. Because they are so consistent, the characters of caricature become familiar and recognizable to the reader. Because they never change, they are memorable. The reader does not easily forget Parson Adams and Uncle Toby.

THE TECHNIQUE OF THE NOVEL OF CARICATURE

By

Ralph Herbert Delzell

A Thesis

In partial fulfillment of the

Requirements for the Degree of

Master of Arts in English

The University of New Mexico

1950

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CHAPTER I

THE NOVEL OF CARICATURE

As a method to distinguish between types of novels characterization has largely been ignored. In any discussion of novels the relative merit of the characterisation is usually mentioned in general terms, such as *adequate*, *convincing*, *good*, *poor*, *flat*, or *round*. That a character can be "round" without changing his nature one iota would be defended vigorously by any lover of Sterne's Uncle Toby, and that a character can show growth or deterioration and remain completely "flat" would be agreed to by any of the millions who have not been impressed with Richardson's Squire B____. *Convincing*, *poor*, *living*, and the rest of the customary adjectives for characters are relative terms and actually tell the reader little or nothing about the characterisation except that it appealed to a certain critic.

The term *Realism*, and its companion *Naturalism*, have become important means of classification of novels, and both imply certain techniques of writing. A naturalistic treatment, however, might appear in a horror novel which was obviously romantic, and a realistic portrait, in a fantasy. To have any value the two terms must imply an attitude held by the novelist rather than simply the method he used to enforce that attitude. A novelist is a realist because he shares the artistic philosophy of realism, and he is good or bad as he fits that philosophy into a framework in which it is consistent and to which it is suited. If realism implies a scientific, detached, relatively objective attitude toward the world which he portrays,

the realist must describe that world scientifically, with detachment, and from the vantage point of a certain objectivity. Since people are part of the world which novelists generally choose to draw, the realist's people must be treated with the same attitude with which he treats the more or less inanimate world surrounding them.

If examined too minutely, even realism and naturalism become somewhat confusing terms, indefinite and relative. It would be so with any term used to classify novels because all stories probably contain elements of a great many general types of writing. A certain amount of romance is probably necessary to give any story interest, a certain amount of realistic detail necessary to give it logic and order, and a certain amount of exaggeration to give it dramatic and psychological emphasis. However, the artistic intention on which a novel is primarily based can be the basis of a valid means of classification.

Understood in the broad sense of deliberate depiction of life as it actually is, realism includes not only a wide range of degrees of truth to life but a wide range of different types of novels which share only the one point, truth to life. The novel of caricature is one type of realistic novel, and because it seems to be opposed diametrically to some other types of deliberate realism, it appears to stand as a distinct form. Just as all realistic novels from Deloney's day to this, the novel of caricature attempts to convince the reader that the events portrayed actually did happen, by simply making sure

that they could have happened. Occasional verisimilitude is handy to the realist, whether he is a pseudo-biographer or a psychological realist, and in its use the caricaturist shares as well. The writer who relies on a certain amount of realism to supplement a story which is otherwise little more than an adventure story probably has no distinct philosophy which motivates his novels; the psychological realist, however, writes his novels as he does because of a philosophy. It is in having a philosophy that the caricaturist is motivated to write more than a simple adventure novel, and it is in having a different philosophy that he differs from the psychological realist. All three are trying to portray life as it actually is.

Briefly, the philosophy that motivates the caricaturist is that all men, even though biologically alike and even though subjected to similar environments, fall into a variety of unlike types. Men, therefore, are not best known through intensive study, but rather through a singling out of the most significant feature of each. The feature may be environmentally or hereditarily determined; the caricaturist is not interested in the origin of a man's characteristic feature as much as he is in its action in society. Motives, therefore, do not primarily concern him, although he is certainly not unaware of them. When a motive is important to the caricaturist, it is because it constitutes a better means of recognizing the character than any other one trait. The caricaturist is not really interested in the cause of the man's action except as it is a single outstanding trait by which the man can best be known.

Psychological realism, unlike caricature, is based on the philosophy that man, on the surface, appears to the casual observer to be a creature of infinite variety but underneath is motivated and best known by basic drives and characteristics which are shaped and changed by environment. To the caricaturist, each individual is unchanging in the single trait which is basic to his nature; to the psychological realist, each is changed as his environment changes. To the caricaturist man is ascendent over his society; to the psychological realist man's society is ascendent over each individual. While neither type of realist is forced to deny choice to each individual, the caricaturist implies personal responsibility for all actions, while the psychological realist may, in many instances, actually seek to excuse an individual's actions and assign responsibility to society. The two differing philosophies account for the real differences between the two equally realistic types of novel.

Caricature as a means, often a shoddy means, of characterization is found in a great many novels which otherwise fall into some other category. In a few novels the caricature seems to have been not only the major method of characterization but also the direct expression of the aesthetic philosophy of the author. In these novels caricature is a method of portraiture which deliberately exaggerates a characteristic or typical trait to further a definite purpose which the author had in mind. Just as the realist's characters arise out of his philosophy and reflect it, so do the novels of caricature arise out of and reflect the philosophy of the author.

Throughout this study the word caricature will be used to indicate a type of characterization in which a single trait is deliberately overemphasized, almost to the exclusion of all others. The deliberate exaggeration must be for a purpose which tends not only to interest the reader but also to carry the author's philosophy more forcibly forward. In general, three "purposes" may justifiably motivate the caricaturist: satire, humor which overshadows the satire of the situation, and audience sympathy or antipathy for a character. Exaggeration of heroic or inimical traits merely to impress the reader spuriously or to arouse in him a heightened emotion can hardly be called caricature; it is either the method of the romance, another novel form, or a simple lack of artistic integrity, and as such will be excluded from this discussion as out of the stream of caricature. When the caricaturist uses exaggeration to enlist audience sympathy or antipathy, it is as a means of insuring immediate understanding of the character in order that the author may use him and his characteristic trait to further a satire which is to follow.

Although the caricaturist is always a satirist, the converse is not true, since satire may be found in many other kinds of characterization. The type of satire which arises from a conviction that certain excesses are ridiculous probably often results in caricature, however, and it is that type of satire with which this work concerns itself. The ridiculousness of excess may be the occasional

concern of any author at any time, and it might produce incidentally in his works some caricatures. To have produced a whole novel which revolves around caricature, the simple concern with ridiculous excess must have been strengthened by further aesthetic and philosophical theories and hypotheses. The position of the author whose primary medium is caricature must be one of two: either he feels that presenting a manifestly untrue picture of an age in an exaggerated manner will point best to the actual follies and foibles of the age, or he is convinced that men are best known through exaggeration of a single basically true detail of their personalities. The former of the two positions seems to be that taken by Thackeray and the latter, by the eighteenth century caricaturists with whom this study is concerned primarily and whose technique was a natural outgrowth of the Restoration stage and the Jonsonian theory of humours.

It has been the intention of this work to study the method of caricature. An actual study of the different novels of caricature can be made at some future time if it seems valuable or advisable; here the concern has been with the method and how it works. As the study of the method of caricature progressed, it became more and more apparent that the explanation of the method and the techniques of the method lay, to a great extent, in the theory of the nature of man and his society which the particular author had and which he expected his audience to recognize and to accept. As a secondary problem, then, some indication of the general attitude toward mankind behind the caricature novel has been attempted.

Satire is, *sui generis*, a criticism of life; the method of satirizing and the portions of life satirized seem to indicate to a great extent the nature of mankind as the author saw it. It is assumed for the sake of this study that an author's literary expressions indicate his actual theories. Whether or not such literary expressions indicate an actual philosophy, they are valid in analyzing purely literary productions.

Throughout this study, Fielding, Smollett, and Sterne have been used, partly because of their stature as novelists and partly because they wrote in the same era of English history. If three authors used very nearly the same techniques in a group of novels which are otherwise greatly dissimilar, those techniques can probably be taken to represent a specific trend. Because all of the novels of the three authors were written within a period of less than thirty years (between 1742 and 1771), no consideration of actual date was felt to be significant. For the purposes of this study the novels of the three authors have been treated as though they were all written at the same time. No attempt is made to examine the influences upon the novels, simply because the method, not the novels themselves, has been the consideration throughout. If at any time in this work it appears that the novel of caricature is limited to the eighteenth century, it is only as a result of accidental overemphasis upon the authors who have been chosen as examples. However, for one example which appears in Chapter V of this work an eighteenth century American

author was chosen in order to keep the examples in this study as nearly parallel as possible. Hugh H. Brackenridge's Modern Chivalry, from which the single outside example is taken, is a post-Revolutionary American tour de force which shows definite influences of both Fielding and Smollett. This study makes no attempt to examine the history or the development of the novel of caricature. It is felt, however, that novels of caricature are still being written and that the analyses of this study apply to many modern novels as much as they do to the specific novels cited.

The great fundamental differences between the novels by the three English authors seem to emphasize the hypothesis that caricature should be considered a definite type of novel. Like realism, the term is broad enough to allow for any individual differences among authors and yet remain the same in its philosophy in whatever author it is found. Fielding wrote two novels which are properly novels of caricature, both of which are held together by the love-interest with which Fielding endowed his heroes. The History of The Adventures of Joseph Andrews and of His Friend Mr. Abraham Andrews is primarily the story of the difficulties encountered by Joseph Andrews in his efforts to marry Fanny Goodwill. Lady Booby, newly a widow, whose cap is set for Joseph; Mrs. Slipslop, Lady Booby's maid; Parson Adams, who travels with Joseph and adds humor to the story; and even Mr. Wilson, who is discovered providentially to be Joseph's father, are all of importance and interest to the story. The story itself,

however, seems to be less important than the satires which fill it. The story was written to carry the satire forward, not the satire to give the story interest. The book is primarily a novel of caricature and secondly a love story.

The History of Tom Jones, a Foundling is also principally a love story, although the reader is interested in the other fortunes of the hero as well. Tom's conquest of the fair Sophia, his status as a member of the household of the good Squire Allworthy, his rivalry with his half-brother Blifil (who is aware of the relationship while keeping its discovery from Tom), and the success of Tom's various adventures and amours all contribute to make it possible for the author to criticise society without losing the interest of his audience. Moreover, all of the characters in the book contribute to the circumstance which allows Fielding to send Tom on an eventful journey to London, during which he has many adventures and encounters a great variety of people whom Fielding may satirize. Basically, in both Tom Jones and Joseph Andrews the story is a servant of satire.

Smollett's The Adventures of Peregrine Pickle and The Adventures of Roderick Random are adventure novels. Roderick Random is left to the care of his uncaring grandfather at an early age and while still very young is abandoned to the world except for the occasional good offices of his uncle, Lieutenant Bowling. Roderick's fortunes and adventures are interesting to the reader, but Roderick's love affair with Narcissa is subservient to his adventures. Smollett's great forte is adventure, and he utilizes the structure of the

adventure novel to support his novel of caricature. As a young surgeon with no prospects, Roderick wanders freely over the earth, giving Smollett opportunity to introduce a wider variety of figures of caricature than would ordinarily have been met in any one place. In Peregrine Pickle, Peregrine, who is disowned by his mother and spoiled by his uncle (the inimitable Commodore Trunnion), takes the grand tour, gambles in fashionable resorts, loses his money in London, and occasionally chases after his beloved Emelia. Just as in Roderick Random, adventure is the platform upon which the story stands, affording opportunity for introducing a wide variety of people and a wide scope of satire. Smollett's last novel, The Expedition of Humphry Clinker, is not primarily adventurous or romantic. The love story of "Wilson" and Miss Melford lends some continuity to the story, but the real vehicle for the story is the trip through England and Scotland taken by Matthew Bramble, his sister Tabitha, their nephew Jery and niece Lydia Melford, Lieutenant Lismahago (a stray who attaches himself to the party), Tabitha's maid, Winifred Jenkins, and Humphry Clinker, who later is discovered to be the natural son of Bramble. Smollett does not justify the trip, other than to say that Matthew needed it for his health. The device of travel is quite obviously intended merely as an excuse for the author to bring in as many caricatures as possible. The novel is as nearly a pure novel of caricature as could be written, actually deriving interest from the satirical caricatures in which it abounds rather than from any device such as adventure or love-interest.

Laurence Sterne's The Life and Opinions of Tristram Shandy, Gentleman and its companion work, A Sentimental Journey Through France and Italy, are more like the stream-of-consciousness novels than like any other type. In Tristram Shandy the lengthy problem of getting Tristram born, the success or failure of the projects inaugurated by Tristram's father, Walter Shandy, and the love affair between Uncle Toby Shandy and the Widow Wadman all have some value as plot devices, but the book is so full of Sterne himself that the reader must be interested directly in the author if interest in the story is maintained. Strictly speaking, Tristram Shandy has no story at all, but the device of Tristram's having to portray his family background so that the reader may know more about him is effective in allowing Sterne to bring in any thought that he considers germane to his purpose as a caricaturist. Since Sterne, apparently perfectly confident of his ability to write a novel virtually without a plot, feels free to mention any thought he happens to have at any time that a stimulus brings it forth, his satire and caricature are given no other vehicle than themselves and his own wit and humor. In A Sentimental Journey a trip through France is ostensibly the vehicle which carries the story and provides opportunity for the necessary links, but the inner workings of the personality of Sterne himself still provide the bulk of the story. Since at least as much reader interest is aroused by Sterne's humor as by the satirical caricatures, his novels are not quite so completely based on

caricature to the exclusion of all else as is Smollett's Humphry Clinker, but satirical caricature is apparently both the means and the desired end of Sterne's novels.

Besides the fact that the novels of Fielding, Smollett, and Sterne came at about the same time and had the same basis which was expressed differently by each writer, the novels of the three seem to represent a culmination of one trend in English fiction. As such they apparently indicate to a certain extent the direction in which fiction had been striving up to that time. In the sixteenth century novels of men like Deloney and Nashe, characters and characterization seem to have been entirely subservient to story itself. Because they were of only secondary interest, the characters were necessarily somewhat flat; to give them some interest without devoting his whole time to them, the novelist usually gave his characters some distinguishing trait. What a sixteenth century novel character did was more important than what he was. When the character writer appeared on the scene in the seventeenth century a little later, his interest was not in what the character did, but in what he was. It was not until the Addisonian essay that the two interests were united in one character, although with no story continuity. The rogue biography picked up the stream of the early adventure novel and added to it an attempt to convince the reader that the events actually happened; the character in a rogue biography had certain definite characteristics, mostly conventional, by which he was easily identified. When

Defoe adopted the pseudo-biography as a technique he usually added purpose to it — not social criticism, perhaps, but a definite sort of moralising, either by defining evil or by illustrating virtue. Swift added further purpose to the novel by making it a satirical and specific criticism of society. Since Swift's criticisms are largely of society itself rather than of the people in society, his characters are more nearly abstractions than real people, although the central figure of Gulliver's Travels has all of the reality that a fictional biography can give to a character. Fielding, Smollett, and Sterne united all of the diverse elements which had led up to their day and produced from them the novel of caricature. Swift's type of satire was used with a background of characters which were much like those of the Addisonian essay; the adventure and apparent truthfulness of the rogue story and the pseudo-biography were used to give the story interest and credibility; and the interest of the author was in what a character did as well as in what he was. In addition, the caricaturist used a definite theory of the nature of man which determined just what actions each caricature would be involved in. Swift had had a theory of the nature of society, but the earlier novelists had been content with merely observing the actions which they reported without interpreting them for the reading public. It was interpretation of the facts which finally developed the novel of caricature and made it different from anything that had come before. After Fielding, Smollett, and Sterne, beginning with Goldsmith

and leading to Jane Austen, the novelist began to be more and more interested in what happened to a character and what personality changes occurred rather than simply in what the character was and what he did. The result was the temporary decline of the realistic-caricature novel while another form, also realistic, began its slow rise. The rising form was oriented psychologically with man as a dynamic, changing, individual rather than a static representative individual. Some aspects of the caricature were carried over for a while into the new novel, like the tendency to exaggerate the traits of minor comic characters, but after Smollett the novel of caricature was no longer a new type of writing in which the master was yet to arise; younger authors sought new fields in which superiority could more easily be achieved.

In addition to being representative of a trend and a culmination of a trend, Fielding, Smollett, and Sterne represent the actual beginning of the novel of caricature as a serious art form. Therefore, it has seemed wise to investigate to a certain extent both the relationship of their novels to the eighteenth century and their critical theories in the light of their own day. Since elements of culture are seldom completely lost, it is not surprising that a novel form which developed as a logical expression of its own age should continue as a partial expression of the philosophies and cultures of later ages. In no sense is it felt that every novel of caricature represents a reversion to the ideals of the eighteenth century;

however, every novel of caricature probably represents to a certain extent a sharing of the same philosophy, even though it may indicate no direct indebtedness to the earlier novelists. The excellence of the caricaturist lies in his presentation of universally true types, and it is the fundamental truth which the caricaturist uses which links all novels of caricature together, regardless of the age in which they were written.

In order to give point to analysis of the technique of caricature, it has been necessary to devote much space to the aesthetic theory around which novels of caricature are written. Partly to make the aesthetic implications of caricature more clear and partly to make use of the literature available on psychologically realistic characterization, constant comparison is made between the theory of characterization used by the "realist" and that developed by the caricaturist. Because the terms "realist," "realistic," and "realism" are intended to denote the later novels and novelists whose aesthetic theory differs from that of the caricaturist, the terms "incidental realism," "verisimilitude," and "circumstantial verisimilitude" often appear when mention is made of realistic touches which do not indicate any departure from the theory of caricature.

Since the aesthetic theory of the caricaturist set the whole pattern of his novels, as well as the method of portraiture, technique in general has been described. In this connection, the exact selection of detail by the caricaturist, the necessity of exaggeration in the novels, and the necessary verisimilitude are covered in some detail.

The technique of the caricaturist necessarily differs somewhat in his presentation of major figures as compared with minor ones. For this reason, minor figures have been treated separately from the major figures about whom the novels revolve.

Finally, it has been deemed advisable in concluding this work to indicate some of the limitations of caricature as an artistic medium. No attempt has been made to determine the relative superiority of caricature as a means of characterization.

Since the technique rather than the novels is under consideration, no summaries of the novels appear. The incidents used in illustration stand without reference to the novels in which they appear.

In discovery of the stray bits of information about characterization which are to be found in almost all discussions of novels, standard critical works on the three authors discussed and on the novel in general have been consulted. Many of the works do not appear in footnotes or in the Bibliography. It is felt that the selections quoted contain most of the essential work done on the subject of characterization, although no one of the works cited is thought to be necessarily any better than many to which no reference is made. No other specific study on the technique and philosophy of caricature has been discovered.

CHAPTER II

THE AESTHETIC THEORY OF CARICATURE

According to one authority, characterization in the novel is determined not so much by the fact that an author is consciously following a pattern set down by his predecessors as by the fact that he has a theory of mankind.[1] He may, if he is a psychological realist, believe that it is incumbent upon an author to peer deeply into the characters of men and bring their hidden motives to the surface for examination. If he is a caricaturist, he will feel that it is his duty to pick out the one characteristic of a man which significantly indicates that man's true being. Both authors face the necessity of writing their novels within the limits imposed upon them by their own theories.

Certain elements of characterization will be present no matter what type of novel is being written. Physical description is an absolute necessity,[2] although in novels like Tristram Shandy and Mrs. Dalloway physical description will be held to an absolute minimum. Conversation directly resembling that of real life will probably be used, even though excellent characterization has sometimes been attained through the deliberate use of oratorical speeches and weighty phrases, like those Marlowe put into the mouths of his characters. The artist is always faced with the problem of the significant

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[1]Bliss Perry, A Study of Prose Fiction (New York: Houghton Mifflin Company, 1902), p. 21.

[2]Selden L. Whitcomb, The Study of a Novel (Boston: D. C. Heath and Company, 1911), p. 113.

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detail to select, too, whether his medium be the novel, the biography, or even clay or paint. Whatever elements the methods of characterization used by various authors may have in common, elementary differences will appear from time to time. It is these elementary differences which make the study of characterization valid and valuable.

Of all the possible means of analysis of novels, characterization seems to be one of the most neglected. Yet characterization probably holds the best key to the aesthetic philosophy of an age or of an author. What an age believes about the basic nature of society and the men in that society can be used to predict what the people in novels will be like. Conversely, a study of the characterization of an age will necessarily yield elementary data about what that age thought about man. As one critic has put it,

> In all ages, I suppose, the great artist, whether dramatist or epic poet or novelist, has more or less consciously had the aim which Fielding implicitly claims for himself; that is to portray nature.[3]

A novelist's theory of nature, or rather of the nature of man, might actually be in error, but the application of that theory in all sincerity and with genius can result, in any age, in a true picture of mankind. According to a physician,

> It is universally admitted that when we want to get a true picture of human life: behavior, manners, customs,

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[3]Leslie Stephen, English Literature and Society in the Eighteenth Century (London: Longmans, 1938), p. 153.

> aspirations, indulgences, vices, virtues, it is to the novelist . . .that we turn, not to the psychologist.[4]

Probably the reason for the success of the novelist as a painter of the truth of life is that he works in an unreal world which is stripped of both chance and error.[5] Forster demonstrates that the novelist is allowed to present truths which he has observed in situations which he has contrived, and this presentation is a demonstration of the actual operation of the character of man stripped to its essentials.[6]

No less than the psychological realist, the caricaturist feels that he seeks the truth about man. He looks into the inner man with all the tools of analysis at his disposal, and if the terms he uses are different from those of the psychologist, it is not the result of faulty analysis, but of a different emphasis placed on the same data for a different purpose.

The artist in every age will not, obviously, portray nature in the same way. The artist is never any more than his age has allowed him to be, and he owes what he is to the sum total of his heredity and his environment, according to most psychologists of today. Too, even when the artist is a genius of Shakespeare's rank, the audience which he hopes to reach is necessarily limited and

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[4]Joseph Collins, The Doctor Looks at Literature (New York: George H. Doran Company, 1923), p. 16.

[5]E. M. Forster, Aspects of the Novel (New York: Harcourt, Brace, and Company, 1927), p. 74.

[6]Ibid., p. 72.

determined in its receptive faculties by the age itself. Consequently, what the artist has to say is of value only in so far as he says it in a way that his audience will understand. To quote from Bliss Perry,

> The educational value of fiction consists not merely in its content, in the significance of the ideas which it conveys in the mind, but also to a considerable extent in the form in which those ideas are clothed.[7]

We cannot judge that the writers of the past were deficient in a quality simply because their expression of it does not correspond to ours today. Even the universal feeling of love is expressed differently from age to age.[8] And to translate Taine's humorous admonition to Frenchmen, Tom Jones is at once "a man whom you conceive as a buffalo, and perhaps the hero who is needed by a people who call themselves Jean Taureau."[9]

On the other hand the assumption cannot be made that, merely because his technique matches the most acceptable modern practice in some aspects, an author from another age is directly in the stream of today's writers. Even that most controversial of critical subjects, realism, is not cut and dried except as a philosophical concept. As a technique it may be found in even the most non-realistic novels.

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[7]Perry, op. cit., p. 23.

[8]William Forsythe, The Novels and Novelists of the Eighteenth Century in Illustration of the Manners and Morals of the Age (New York: D. Appleton and Company, 1871), pp. 24-32.

[9]Hyppolyte A. Taine, Histoire de la Littérature Anglaise (Paris: Librarie Hachette et Compagnie, 1905), IV, 128.

> Even the most romantic of novelists cannot avoid being to a certain extent a realist. He will eventually become something of a realist because he is obliged to deal with commonly recognizable aspects of experience. Realistic touches are to be found in the most purely fanciful tales.[10]

However that may be, there is a certain value to the student of the historical development of the novel in the consideration of realism as a philosophy of aesthetics as compared with other philosophies. Perhaps the most significant definition of the "realist" is as the author who, reasoning inductively instead of deductively, "is most active in looking back over the antecedent ground of scientific discovery"[11] in an attempt to describe fully that complex creature, man. Howells says that, as a technique, "realism is nothing more and nothing less than the truthful treatment of material,"[12] and while it may be a useful test of the good or bad faith of the novelist,[13] it is not the technique but the philosophy of realism that can be used as a means of classification of novels.

One writer has said that the treatment of fictional characters follows a definite line of progression.[14] In the beginning, literature shows the exceptional individual contending with his environment—

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[10]Bruce McCullough, Representative English Novelists: Defoe to Conrad (New York: Harper and Brothers, 1946), p. 250.

[11]Clayton M. Hamilton, Materials and Methods of Fiction (Garden City, New York: Doubleday, 1912), p. 29.

[12]William D. Howells, Criticism and Fiction (New York: Harper and Brothers, 1892), p. 72.

[13]Ibid., p. 85.

[14]Vida D. Scudder, English Literature (Boston: Houghton Mifflin Company, 1898), p. 3.

Ulysses, Aeneas, Beowulf -- and may express in that environmental circumstance a larger life. Later in the development of literature, the individual becomes a type. At first he is probably the Hamlet figure, the type who represents a universal emotional condition of man's life; later, when men have developed theories of the nature of man, the individual becomes typical of some personality trait which belongs to some men, but not to all mankind. Eventually he may, as he has today, become the type of a class or social group. A sixteenth century writer might thus be expected to devote himself to the portrayal of a man who could be any man in a certain phase of existence which might accidentally befall anyone. An eighteenth century author would fill his work with illustrations of man's basic and contradictory virtues and vices, each displayed in a situation which would best demonstrate its action and the consequences of its actions. Muller says that one of the principal differences between the older and the modern writer is the predisposition of the latter to analysis,[15] not simply to demonstration.

The novel of caricature first became significant in English literature because of the ideals of the age in which it originated. The eighteenth century author wished to emphasize the essential, typical, individual trait of each character, in either poetry or prose. Goldsmith's Retaliation, for example, is filled with caricatures which emphasize the typical and the individual traits of

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[15]Herbert J. Muller, Modern Fiction (New York: Funk and Wagnalls Company, 1937), p. 405.

the characters with whom it deals. The eighteenth century author was interested in painting a picture of all mankind through a presentation of all of the types which go to make up the species. It is this interest which is expressed in the novel of caricature, and it is the same interest which appears in any novel of caricature.

The eighteenth century authors were generally quite definite in their expressions of the nature of man. Man was certain things, and he was given opportunity to be certain others. Swift's Yahoos contain all of the elements of man at his worst: his Houyhnhnms, all of man's potentialities. Sterne's Yorick is part of man at his best, and Dr. Slop is part of man at his worst. Tom Jones is Fielding's young Englishman as he should be, and Blifil as he should not. Even Smollett's Roderick Random and Defoe's Captain Singleton are ideal young men. Although none of them may correspond to the ideal of the twentieth century, all of these fictional ideals were real ideals to the eighteenth century, or at least to a large segment of the populace in eighteenth century England.[16]

In A Journey From This World to the Next, Henry Fielding outlines both the theory of mankind's essential nature and implies the ideal for young men which was later to appear in the figure of Tom Jones. Of the soul about to depart for Earth to be born, Fielding writes,

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[16] William S. Walsh, Heroes and Heroines of Fiction (Philadelphia: J. B. Lippincott Company, 1914), pp. 215 and 312.

writes,

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[16] William S. Vaux, Lecture and Herslow of Early [illegible]
A. D. Edgington Company, 1919), pp. 213 and 214.

> First, then, he receiveth from a very sage person, whose look much resembled that of an apothecary . . .a small phial inscribed THE PATHETIC POTION, to be taken just before you are born. This potion is a mixture of all the passions, but in no exact proportion, so that sometimes one predominates, and sometimes another; nay, often, in the hurry of making up, one particular ingredient is, as we were informed, left out. The spirit receiveth at the same time another medicine called the NOUSPHORIC DECOCTION, of which he is to drink ad libitum. This decoction is an extract from the faculties of the mind, sometimes extremely strong and spiritous, and sometimes altogether as weak; for very little care is taken with the preparation. This decoction is so extremely bitter and unpleasant, that, notwithstanding its wholesomeness, several spirits will not be persuaded to swallow a drop of it, but throw it away, or give it to any other who will receive it; by which means some who were not disgusted by the nauseousness drank double and treble portions.[17]

Even though Fielding's description is somewhat whimsical, it would not be entirely unacceptable to the extreme hereditarian even today, except that it implies the possibility of some choice by the individual and so fixes responsibility not entirely on heredity but partially on the person who has refused to partake of certain qualities. If his satire were to be effective, it was necessary that Fielding allow his characters some responsibility for their own actions. It is interesting to note, however, that so firm was Fielding's belief that men's basic natures were unchanging that he says of life after death, "I discovered by intuition that every soul retained its principal characteristics, being, indeed, its very essence."[18]

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[17]Henry H. Fielding, A Journey from This World to the Next, Vol. XI, The Works of Henry Fielding (New York: The Righteenth Century Club, 1902), chap. vi, p. 38.

[18]Ibid., chap. viii, p. 50.

Of the ideal young man, who also appears in Smollett and Sterne, Fielding outlines his own opinion by indirection when he describes the character of the narrator of A Journey from This World to the Next. The narrator is standing before the gate to Elysium, awaiting either admission or rejection and a return to earth to attempt to satisfy the entrance requirements by a further trial.

> The judge then addressed himself to me, who little expected to pass this fiery trial. I confessed I had indulged myself very freely with wine and woman in my youth, but had never done injury to any man living, nor avoided an opportunity of doing good; that I pretended to very little virtue more than general philanthropy and private friendship. I was proceeding when Minos bid me enter the gate, and not indulge myself with trumpeting forth my virtues.[19]

Earlier a prude, a great man, an uncharitable person, a soldier, a man who had spent his life damning vice in others, a wealthy and ostentatious philanthropist, and a beau had been excluded from the select company in Elysium.

Just as the caricaturist and the psychological realist differ in the nature of man as expressed in their novels, so do they differ on another concept equally basic. According to many critics, the novel today should show the gradual development of character, a function which modern realism fulfills from the cumulative momentum of trivial items.[20] As one writer succinctly expressed the demand upon the modern novelist,

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[19] Ibid., chap. vii, p. 47.

[20] Whitcomb, op. cit., p. 111.

> For until you have characters responding characteristically to stimuli — that is, to whatever happens to them — you have no story. Actually, the characters are more important than their problems; more important than plot; though both of these are important to any worth-while piece of fiction . . .It is only as events affect people that they become interesting.[21]

Implicit in the statement "responding . . .to whatever happens to them" is a feeling that the changes which occur in the individual character are the chief concern of the modern novelist. Since the changes in a man's character most often result from his reaction to his world, society becomes a causal factor rather than simply the result of man's nature. Because society is the active agent, it often seems to assume a position dominant over any individual member. While the conflict of individuals would often be of vital importance, that conflict would be of interest only as it delineated changes and development in one or more of the characters involved in the conflict. Unlike the earlier or "epic" feeling, the modern novelist's attitude would be that the individual, per se, is not properly shown changing or affecting his society — the "events" which surround him in the novel — but that the individual is to be shown growing or deteriorating within his society.[22]

As Fielding's analysis indicates, he saw man as an entity which resisted change. Other caricaturists concur. Sterne, in The Life and Opinions of Tristram Shandy, explains that Englishmen, as

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[21]Maren Elwood, Characters Make Your Story (Boston: Houghton Mifflin Company, 1942), pp. 1-2.

[22]Ibid., p. 214.

contrasted with other nationalities, seem to be composed mainly of extremes of definite traits, with very little of moderation in their make-up.[23] Later he says he supposes that "singularity of temper [proceeds] more from blood, than either wind or water, or any modifications or combinations of them whatever."[24] In other words, the nature of man is determined before birth and nothing doctors or philosophers can do will change it. Sterne's analysis of the reason for striking individualities implies even more personal responsibility than does that of Fielding:

> A man and his Hobby-Horse, tho' I cannot say that they act and re-act exactly after the same manner in which the soul and body do upon each other: Yet doubtless there is a communication between them of some kind; and my opinion rather is, that there is something in it more of the manner of electrified bodies, -- and that, by means of the heated parts of the rider, which come immediately in contact with the back of the Hobby-Horse, -- by long journeys and much friction, it so happens, that the body of the rider is at length filled as full of Hobby-Horsical matter as it can hold;-- so that if you are able to give but a clear description of the nature of the one, you may form a pretty exact notion of the genius and character of the other.[25]

Thus all of Walter Shandy's manipulations of the birth and conception of Tristram came to naught, because Tristram's nature was determined by blood, not by manipulation. What Tristram or any other person did with the nature which he brought into the world was a matter of

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[23] Laurence Sterne, The Life and Opinions of Tristram Shandy, Gentleman, The Works of Laurence Sterne (London: Henry G. Bohn, 1865), Bk. I, chap. xi, pp. 26-27.

[24] Ibid., chap. xxi, p. 50.

[25] Ibid., chap. xxiv, p. 57.

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universes of definite events, with very little of modernism in their
make-up.[53] Later he says he expresses that "singularity of temper
[possessing] more from Blood, than either Land or Water, or any modi-
fications or combinations of them elsewise."[54] In other words, the
nature of man is determined before birth and nothing Lawyers or
Physicians can do will change it. Perry's analysis of the problem
for studying individualities implies even more personal responsibility
than does that of Melville:

> A man and his Body-Horse, tho' I cannot say that they
> act and re-act exactly after the same manner in which the
> soul and body do upon each other. Yet doubtless there is a
> communication between them of some kind; and my opinion
> rather is, that there is something in it more of the manner
> of electrified bodies, -- and that, by reason of the looked
> parts of the rider, which come immediately in contact with
> the back of the Body-Horse, -- by long journeys and rough
> treatment, it so happens, that the body of the rider is at
> length filled as full of Body-Horse matter as it can hold--
> so that if you are able to give but a fair description of the
> nature of the one, you may form a pretty exact notion of the
> genius and character of the other.[55]

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[53] Laurence Sterne, The Life and Opinions of Tristram Shandy, Gentleman, The Works of Laurence Sterne (London: Henry G. Bohn, 1865), Bk. I, chap. xi, pp. 28-29.

[54] Ibid., chap. xii, p. 30.

[55] Ibid., chap. xviii, p. 37.

choice: the thing with which a man most obsesses himself will combine with his inheritance to determine his character. Each man becomes in essence his own Hobby-Horse. While the man might conceivably change his Hobby-Horse, he would certainly retain the imprint. New traits might be acquired, but they would merely be additions, not changes.

Smollett, who is less definite in his delineation of the true nature of mankind, indicates in the "Apologue" to Roderick Random that he considered the singular and distinctive trait to be the truest means of identifying a man.[26] Cautiously, Smollett emphasizes that he considers these identifying traits to be typed-features, not to be associated with any one individual; but the singular feature remains as the distinguishing mark of the man.

None of these theories are particularly at variance with modern psychological findings, which indicate that, whether one considers heredity or environment more important, there is an interaction of the two which determines just what the individual will be like.[27] Even the singular types and traits are of importance to the psychologist today,[28] and these types and traits bear a distinct resemblance

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[26]Tobias Smollett, The Adventures of Roderick Random, Vol. I, The Works of Tobias Smollett (St. Edmunds Edition; Philadelphia: John D. Morris and Company, 1902), "Apologue," pp. xxxv-xxxvii.

[27]Anne Anastasi, "Heredity and Environment," Foundations of Psychology, edited by Edwin G. Boring, Herbert S. Langfeld, and Harry P. Weld (New York: John Wiley and Sons, 1948), p. 456.

[28]Laurance F. Shaffer, "Personality," Ibid., p. 487.

to the theories propounded by Fielding, Smollett, and especially by Sterne. The particular interpretation of man found in the work of the eighteenth century caricaturists also seems to be very similar to the Jonsonian theory of humours, especially in Smollett[29] and Fielding,[30] and Sterne confesses his own indebtedness to Locke.[31] The important consideration, however, is not that the eighteenth century caricaturist held a theory which was similar to that of some other author or which is generally acceptable today; nor is it particularly important if the theories which they held are radically different from any other theories of the nature of man. The important fact is that they did hold to certain theories, and those theories were largely responsible for the way in which they wrote their novels and for the position which their characters occupied in those novels.

An author is limited in his characterizations by more than his own theories of the function of the people in his novel. He may not merely select some person of his acquaintance and present him to the reader as a credible performer. The character in fiction is required to meet certain standards imposed upon him by the audience he finds:

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[29] L. M. Ellison, "Elizabethan Drama and the Works of Smollett," PMLA, XLIV (1929), passim.

[30] A. Margaret Fowler, A Comparative Study of Humours Characters in Ben Jonson and Henry Fielding ("University of Oregon Thesis Series," XV [Eugene, Oregon, 1929]), passim.

[31] Sterne, Tristram Shandy, Bk. II, chap. ii, pp. 61, 64.

he must be composed of traits which the reader will recognize and accept. Unless the author is strict and careful in his regard for the conventional requirements of the role which the character is asked to play, the public will not accept the character.[32] So great is audience participation in the reading of novels that the reader actually retains his own vision of the character, not the author's. The vision is formed from the details presented by the author, but it is conditioned by the preconceptions of the reader. In remembering a novel the reader tends to recall that portion of it which he himself re-creates: a character, or a set of characters, made vivid by a series of anecdotes which he selects to associate with them in his own mind.[33]

If the reader demands recognizable details from an author and often demands, as at present, growth and development arising out of a multitude of those details, too great a profusion of detail is not acceptable. Even the biographer is forced by his audience to limit himself in his choice of details, even though he may be relatively objective and thorough in his treatment. One critic has stated the point,

> Do not suppose that the real men and the real events of their lives are recorded in factual truthfulness. If every thought,

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[32] Perry, op. cit., p. 114.

[33] Percy Lubbock, The Craft of Fiction (New York: Columbia University, 1941), pp. 1-9.

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[72] Perry, op. cit., p. 114.

[73] Young Lubbock, The Craft of Fiction (New York: Columbia University, 1921), pp. 1-2.

> every act of a person's life were set down as it happens, the reader would be bored to the point of tears and the writer's "truthfulness" would be a lie.[34]

So voluminous a biographer as Boswell was forced to leave out some of the more insignificant parts of the life of Samuel Johnson.

It becomes necessary for the writer to select from the great mass of details he has available about his subject. The complexities of existence would be little more than chaos on the printed page. A novel like Joyce's Ulysses can reproduce that chaos and command respect and a certain market, but the human tendency to demand order and unity is so strong that the author must normally select certain characteristics to relate. Of these characteristics the author must usually emphasize a few much more strongly than he does others.[35]

When faced with the most complex characterization, the average reader or student tends to select from the mass a few significant details, so that the less important details contribute little to his understanding of the character. "With ordinary people it is by salient characteristics that a likeness is established, and no variation of detail, however skillful, greatly affects this result."[36]

The psychological novel of the present day has arisen only because of a certain psychological sophistication which the writer

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[34] Elwood, op. cit., pp. 11-12.

[35] Ibid., p. 10.

[36] Austin Dobson, Fielding ("English Men of Letters"; London: Macmillan and Company, 1907), p. 84.

can assume in his audience. The writer may, today, safely assume that his readers are accustomed to psychological treatment of character through long experience with reading and talking about psychologically realistic novels.[37] The reader will not only be able to discover the important facts about a character from a mass of seemingly insignificant details, but will enjoy doing so. The caricaturist makes no such assumption. His assumption, rather, is that the reader of his story will be much more interested in the truth about man than in any inner-self which the author may reveal and leave to the interpretation of the reader.

Occasionally, the caricaturist may find reason to examine the inner selves of some of his characters, but he does so only because the essential traits of those characters are not in their actions, but in their motives. The caricaturist is not so much interested in the origin of any man's inner motives as in the motives as indications of traits. Fielding, for example, in Joseph Andrews, introduces a lawyer, who convinces the other passengers of the stagecoach in which he is riding that they should stop and rescue the robbed and beaten Joseph. The night is dark and cold, and rescue is essential to Joseph's survival. Fielding, however, is not content with merely rescuing Joseph; he carefully emphasizes the lawyer's motive:

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[37] A Sophomore class in English Literature at Albuquerque High School, Albuquerque, New Mexico, averaged eighty-five percent on essay questions covering psychological material in a test over George Eliot's Silas Marner. On factual material in the same test the class average was eighty-one percent.

> He wished they had passed by without taking any notice: but that now they might be proved to have been last in his company; if he should die they might be called to some account for his murder. He therefore thought it advisable to save the poor creature's life, for their own sakes, if possible; at least if he died, to prevent the jury's finding that they fled for it.[38]

In spite of the sophisticated presentation of the lawyer's real motive, Fielding, as a caricaturist, is not really interested in the cause of the man's action except as it demonstrates the single outstanding trait of self interest by which the man can best be known.

In the analysis of people, the caricaturist feels that he presents the truth about people, a truth which probably would not be apparent to the casual observer. In Tom Jones, Fielding apologizes to the reader for the apparent short-sighted-ness of Squire Allworthy by explaining that no one who knew the man could have been expected to see Thwackum, the divine of his household, in the revealing light in which Fielding saw and presented him.

> . . .for the reader is greatly mistaken, if he conceives that Thwackum appeared to Mr. Allworthy in the same light as he doth to him in this history; and he is as much deceived, if he imagines that the most intimate acquaintance which he himself could have had with that divine would have informed him of those things which we, from our inspiration, are enabled to open and discover. Of readers who, from such conceits as these, condemn the wisdom or penetration of Mr. Allworthy, I shall not scruple to say, that they make a very bad and ungrateful use of that knowledge which we have communicated to them.[39]

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[38] Henry H. Fielding, The Adventures of Joseph Andrews, Vol. I, The Works of Henry Fielding (New York: The Eighteenth Century Club, 1902), Bk. I, chap. xii, p. 59.

[39] Henry H. Fielding, The History of Tom Jones, a Foundling (London: Macmillan and Company, 1900), I, Bk. III, chap. v, p. 103.

Fielding, who seems to have been nearly as excellent as a theorist as he was as a novelist, states the position of the caricaturist and his reader quite clearly:

> For though nothing worthy of a place in this history occurred within that period [in Tom Jones's life from the age of two to the age of fourteen], yet did several incidents happen of equal importance with those reported by the daily and weekly historians of the age; in reading which great numbers of persons consume a considerable part of their time, very little, I am afraid, to their emolument. Now, in the conjectures here proposed, some of the most excellent faculties of the mind may be employed to much advantage, since it is a more useful capacity to be able to foretell the actions of men, in any circumstance, from their characters, than to judge their characters from their actions.[40]

The caricaturist feels that his is the job of predicting actions from the characteristics which he is able to perceive, not to determine the characteristics from the actions, so that the reader himself may predict any further actions which the character might possibly perform. Fielding is careful to say that the job of seeing deeply into the natures of men is the function of the good novelist:

> By genius I would understand that power, or rather those powers of the mind, which are capable of penetrating into all things within our reach and knowledge, and of distinguishing their essential differences.[41]

Bissell, writing about Fielding, has said,

> Fielding, like the best novelists after him, realized the advantages of careful selection of significant actions to

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[40] Ibid., Bk. III, chap. 1, pp. 85-86.

[41] Ibid., Bk. IX, chap. 1, pp. 458-459.

preserve the unity of character and action, and to give the story swiftness and movement.[42]

Out of the aesthetic implications of a theory like Fielding's of the proper material to present his readers arises part of the technique of the novel of caricature. Like any artist, the author is to be the genius, the interpreter, the person who selects the significant detail. That significant detail he will present to the reader, who will then be free to grasp the broader implications of the novel.

Realism, of a sort, is also implicit in the theory, but it is not realism as we know it today. The details selected, although true and exact, were not always those which a psychological realist would choose. The theory is neither the external realism of the objective and scientific reporter nor the psychological exactitude of the modern analyst, but it is, in the words of one admirer, "truth to the abiding traits and instincts of men"[43] as Fielding knew them. Even though the intricacies of the human mind with which we concern ourselves today were looked upon in the eighteenth century chiefly as indigestion or some other physical ailment,[44] the portraits from that era, which do consciously go to the "abiding traits" of human nature, have

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[42]Frederick O. Bissell, Jr., Fielding's Theory of the Novel (Ithaca, New York: Cornell University, 1933), p. 49.

[43]Ibid., p. 37.

[44]Forsythe, op. cit., p. 55.

a truth which survives their lack of psychological knowledge. "With environment altered, Tom Jones would be a faithful portrait in the twentieth century."[45]

If the reader of the novel of caricature is not to be burdened with useless detail, he is asked to learn from the novels he reads. In nearly all discussions of literature in the eighteenth century there is a statement or implication that it is the function of literature to teach.[46] Smollett states the didactic position of the caricaturist quite clearly in the "Preface" to Roderick Random:

> Of all the kinds of satire, there is none so entertaining and universally improving, as that which is introduced, as it were occasionally, in the course of an interesting story, which brings every incident home to life.[47]

Smollett further explains in this preface that the eighteenth century is not primitive, and therefore it cannot have an epic in which heroes are elevated beyond their actual performance in order to inspire the people; it is also too far advanced in learning and understanding to allow sham heroes to be foisted off on it in imitation of the ancients. The didactic function of literature, Smollett adds, must be served through satire, and only through that toughness of mind

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[45] William L. Phelps, The Advance of the English Novel (New York: Dodd, Mead, and Company, 1919), p. 63.

[46] Ethel M. Thornbury, Henry Fielding's Theory of the Comic Prose Epic ("University of Wisconsin Studies in Language and Literature," XXX [Madison, Wisconsin, 1931]), n. 106.

[47] Smollett, Roderick Random, Works I. "Preface," p. xxix.

a truth which survives their lack of physiological knowledge. "With
sentiment silenced, Tom Jones would be a faithful portrait in the
twentieth century."[45]

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be served through action, and only through that uniformness of mind

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[45] William L. Phelps, The Advance of the English Novel (New York: Dodd, Mead, and Company, 1916), p. 69.

[46] Robert M. Cherniss, Henry Fielding's Theory of the Comic Prose Epic ("University of Wisconsin Studies in Language and Literature," XXX [Madison, Wisconsin, 1931]), p. 146.

[47] Moulton, Reference Shelf, Vol. I, "Preface," p. xviii.

which allows an author to present and a reader to appreciate the truth can satire be achieved.[48]

The ideals which he sets for himself, plus the requirements of his medium, make it difficult for the caricaturist to produce a novel which will be both entertaining and instructive. Merely to present a picture of the author's ideal of behavior would be to fail in the first purpose of the satirist — to criticise his society. The caricaturist has the thankless task of pointing directly toward the evils of the very society for whom he is also trying to make his novel interesting. For the polite world "to accustom its taste to such a realistic presentation of life as Fielding's was, no doubt, somewhat difficult; Richardson's idealistic treatment gave ordinarily less trouble,"[49] but Richardson's was a direct, obvious, moralizing attempt merely to show what should exist without really considering what did exist. The caricaturist feels obliged to criticise what exists; he gives his art to satire, not to moralizing or to idealization.

Didactic satire imposes a difficult task upon the author who would in any way particularize and make his characters memorable. Even with the eighteenth century ideal of the type rather than the individual, some particularization is necessary to keep characters

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[48] Ibid., pp. xxxv-xxxii.

[49] Frederick T. Blanchard, Fielding the Novelist, A Study in Historical Criticism (New Haven, Connecticut: Yale University, 1927), p. 71

which allows the author to present and a reader to experience the truth can exist be achieved."[39]

The theatre which he sets for himself, plus the requirements of his medium, make it difficult for the contemporary to produce a moral which will be both understandably and instructive. Merely to present a picture of the author's ideal of behavior would be to fail in the first purpose of the satirist — to criticize his society. The contemporary has the function then of pointing directly toward the evils of the very society for whom he is also trying to make his moral implacable. For the public would "so commence its task of a realistic presentation of life as Fielding's was, no doubt, somewhat difficult; Richardson's idealistic treatment gave ordinarily less trouble,"[40] but Richardson's was a direct, obvious, unyielding attempt merely to show what should exist without really considering what did exist. The contemporary focus obliged to criticize that existed; he gives his art to notice, and be noticed or be investigation.

Didactic satire imposes a difficult task upon the author who would in any way particularize and make its characters convincing. Even with the eighteenth century legal of the type meting when the individual, some particularization is necessary to keep characters

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[39] Ibid., pp. xxx-xxxii.

[40] Frederick T. Blanchard, Fielding the Novelist, 2 ed.rev. ed. Literature Publishing (New Haven, Connecticut: Yale University, 1926), p. 71

from seeming more dummies.[50] Satire requires that the author overemphasize the figure whose outstanding trait he chooses to satirize. The result is that all other figures tend to blur into the background, and the author has to exaggerate the non-satirical figures in his novel, as well as those figures which have been exaggerated for a satirical purpose. As a matter of fact, unless the author is to be limited severely in his opportunities for satire, he has no room in his novel for minor or colorless details. Fielding devotes one whole introductory chapter in Tom Jones to a discussion of the fact that he will not indulge himself in matters of small importance,[51] as indeed he could not within his novel as he planned it. The elimination of minor details contributes greatly to vividness of the novel of caricature, as well as to its characteristic exaggeration.

Exaggerated emphasis of actual details further serves the necessary purpose of disguising the character, in addition to individualizing it; and disguise is necessary in any novel. The audiences of the eighteenth century caricaturist knew that the pictures were true, but they objected occasionally to the very truth: one must not paint life as it is, but must idealize it.[52] "Humanity abhors a fact, and has been snubbing its own flesh and blood for thousands

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[50] Houghton W. Taylor, "Particular Character: An Early Phase of a Literary Revolution," PMLA, LX (1945), 162.

[51] Fielding, Tom Jones, I, Bk. II, chap. i, pp. 45-47.

[52] Blanchard, op. cit., p. 137.

of years. . . .Today we have vagueness enthroned."[53] By drawing their figures true to life, but larger than life, the caricaturists eliminate some of the immediacy of their satire: Smollett warns that although the reader knows the satire is directed toward his own society, he is under no compulsion to identify himself with the satirized character merely because of an accidental agreement in himself with the dominant trait of the caricature.[54]

To summarize, the technique of exaggeration is more than a device of satire, compensation, and disguise. It is by its very flamboyance a direct appeal to the emotions. "It is only when a story actor is characterized as good or bad. . .that the reader cares what happens to him or what he does."[55] The caricaturist enlists the sympathy of the audience from the very beginning of his story by making it obvious not only whether a character is good or bad, but in what way he is good or bad. The caricaturist appeals to the emotions in strong terms to which his audience will react: he usually wishes to provoke a change in his society, and he knows that society needs strong medicine to make it react. An appeal to the emotions often achieves greater reform than an appeal to the mind.

The caricaturist, then, writing for his own age and about his own age, uses a definite method of characterization with definite

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[53] Ernest N. Dilworth, The Unsentimental Journey of Laurence Sterne (Morningside Heights, New York: King's Crown Press, 1948), p. 4.

[54] Smollett, Roderick Random, Works, I, "Apologue," p. xxxvii.

[55] Elwood, op. cit., p. 4.

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objectives in mind. His intention is to be didactic as well as to entertain, and he chooses his medium carefully for that purpose. His view of mankind and of life is not necessarily more limited or more inexact than that of the psychological realist, but his vision is colored by his own view of the ideals of literature. In part he utilizes caricature because it fits his theories of mankind and of literature, and in part it is forced upon him by the nature of satire and by the demands of an emotional appeal. Any art form, to be understandable to the people to whom it is addressed, must be shaped according to one or another of the prevailing modes of the day. Pure lyric poetry will be demanded by one audience, formal didactic verse by another, and highly symbolic poetry by another. One age may demand that its novels all be adventurous; another that they all be analytic or realistic. As long as novels deal with people, the view of people taken by the novelist must correspond to that demanded by the culture in which he is himself immersed. And that view of mankind will largely shape and determine the type of novels which the author will write. The caricaturist shapes his novel according to the age by criticizing evils specific to that age in a manner which will be easily recognizable.

The caricaturist understands that he does not present the whole truth of any individual, but he makes no attempt to do so; in fact, no author can present the whole truth without fear of boring his reader. The view of mankind presented by the eighteenth century

caricaturists is distinctly different from that of the "realist" of the modern novel or the romanticist, and because it is a distinct form it gives rise to a separate type of novel. Its concern in the novel is not with man as an organism standing in need of analysis, but rather with man as a unity whose actions, not whose component parts, are in need of description. In man certain outstanding and significant features can be perceived and related by the discerning author; the varied and conflicting traits which go to make up each individual are the concern of every man, but the author takes upon himself the duty of discovering just which of those traits are really significant.

Briefly, the caricaturist selects his detail with a view to emphasis rather than to complete understanding. His technique, however much it may resemble other forms of realism on the surface, cannot be looked upon as a deficient or primitive realism. It is a separate form with separate ideals embodied in a philosophy entirely different from that of the psychological realist. If caricature is inimical to realism, it is also equally inimical to romanticism, since its ideal is truth, not idealization. In short, caricature is a distinct form existing with only superficial resemblances to other forms in the novel.

CHAPTER III

THE GENERAL TECHNIQUE OF CARICATURE

In the preceeding chapter it was stated that definite problems in the structure of the caricaturist's novels are imposed by the aesthetic theory to which he is dedicated. The caricaturist's theory is that men are basically unlike except for surface similarities. In order to find the basic differences among types of men the caricaturist is forced to turn to exaggeration and to the manifestly false position that each man actually has only one trait or characteristic. The caricaturist is more interested in presenting a character with an emphasis which will make immediate understanding and recognition possible than in carefully analyzing the whole of any personality.

It was also shown that fitting his theory of the nature of man into a novel is a problem of real difficulty to the caricaturist. Selection of the important detail is of first importance. The characteristic has to be one which will be recognizable and definite, but if selected for a character which is to appear more than once it must be of a sufficiently general nature to be interesting in more than one situation. Because of the nature of the exaggeration which he feels called upon to use, the caricaturist is required to implement it with every technique at his disposal -- gross presentation and reiteration principally. Because exaggeration may lead to abstractions instead of people, much circumstantial detail is required. Finally, in order to further the purpose of his exaggeration, every

CHAPTER XII

situation must be carefully tailored for the characters who appear in it. In meeting these requirements the author must keep in mind at all times his intention to be both entertaining and didactic.

The problem of selecting vital detail has been called the most important to any writer who wishes to present his characters quickly and effectively in a short work or for use in a single scene.[1] The selections made by the caricaturist often appear to be mere graspings at surface characteristics, but the choices made result from a careful exclusion of extraneous details rather than from a deficient faculty of observation. As Chapter II of this work points out, exaggeration is absolutely necessary to the caricaturist's purpose, and exaggeration implies rigid selection of detail. It is almost an axiom that everything a character does in any story must be the logical outcome of character traits which have already been shown to the reader,[2] and the caricaturist is forced to observe a rule of selection which will further his purpose of satire or humor. He cannot merely select those details which are pertinent in any given situation from a mass of otherwise uncorrelated data that he might have previously presented to the reader. He is forced to maintain an absolute consistence in his character in order that the reader will understand both the character's actions and the author's meaning at all times.

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[1] Elwood, op. cit., p. 11.

[2] Ibid., p. 17.

Compared with the pictorial artist who adopts the same aesthetic technique of pointed detail, the novelist who chooses caricature as his medium is at a definite disadvantage in selecting the details to give to his audience. The pictorial artist may, if he wishes, reproduce faithfully all of the details of his subject's appearance, because he can feel sure that the ordinary observer of his painting will receive an impression mainly determined by those details which the artist himself considered important. The pictorial artist knows that the whole picture will be perceived at a single glance, not piece-meal as the descriptions from a printed page are received, and he knows that in that moment of perception the viewer will be most largely influenced by those details which the artist had chosen to highlight. The novelist, unable to present the whole picture at a single glance, is forced to leave out all but the most significant details. He knows that any detail he chooses to present to the reader may be singled out for emphasis in the reader's mind. Granted an ideal audience, the presentation of all details would pose no difficulty, but no chance can be taken that the audience will fail to give emphasis to those details which the author thinks are important. The didacticism of the caricaturist requires that the reader be left in no doubt whatever as to the meaning implied by the author. The caricaturist, like some painters, has been said to use a magnifying glass to detect the flaws in even the best of people,[3] but the

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[3]Blanchard, op. cit., pp. 70-71.

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results of the novelist's study are necessarily different from those of a Hogarth.

When the eighteenth century caricaturist felt that physical description was necessary to his purposes, he often went to the portraits of Hogarth both for inspiration and for comparison. Fielding describes Mrs. Tow-wouse, the inn-keeper's wife in Joseph Andrews, in Hogarthian terms and emphasizes the oddity of her appearance by saying that "nature had taken such pains in her countenance, that Hogarth himself never gave more expression to a picture."[4] In Tristram Shandy, Sterne briefly describes the rotund figure of Dr. Slop, which, he says, "if you have read Hogarth's analysis of beauty, and if you have not, I wish you would; — you must know may be certainly be caricatured and conveyed to the mind by three strokes as by three hundred."[5] Smollett's descriptions would do justice to the best of Hogarth's paintings; Lieutenant Lismahago in Humphry Clinker certainly seems to have been inspired by Hogarth's type of painting:

> He would have measured above six-feet in height had he stood upright; but he stooped very much; was very narrow in the shoulders, and very thick in the calves of his legs, which were cased in black spatterdashes — As for his thighs, they were long and slender, like those of a grasshopper; his face was, at least, half a yard in length, brown and shrivelled, with projecting cheek-bones, little grey eyes on the greenish hue, a large hook-nose, a pointed chin, a mouth from ear to

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[4] Fielding, Joseph Andrews, Works, I, Bk. I, chap. xiv, p. 75.

[5] Sterne, Tristram Shandy, Bk. II, chap. ix, p. 75.

results of the novelist's study are necessarily different from those of a logician.

When the eighteenth century caricaturist felt that physical description was necessary to the purpose, he often used to the portraits of Hogarth both for inspiration and for composition. Totality describes Mrs. Tou-coeur, the tax-collector's wife in Ubu Roi, in Hogarthian terms and emphasizes the ugliness of her character by saying that "nature had taken much pains in her composition, that Hogarth himself never drew more expression in a picture."[3] In Tristram Shandy, Sterne briefly describes the various figures of Dr. Slop, widow, in ways, "If you have read Hogarth's analysis of beauty, and if you have not, I wish you would -- you must know my character entirely be contextual and portrayed to the mind by three strokes only."[4] Hogarth's description would be placed by the best of Hogarth's painting: Elizabeth Edmonds in Gin Lane certainly seems to have been inspired by Hogarth's type of prostitute:

> He would have measured about six-feet in height had he stood upright but he stooped very much as he walked. His features, and very chief in the colors of his face, they were round in black spattlerumbles -- As for his clothes, they were ragg and slender, like those of a greenhorn like Tom was, at large, half a yard in length, brown and destroyed, with patching check-on-on, little grey eyes on the premises, a large bone-nose, a pointed chin, a mouth from ear to

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[3] Totality, Jacques Tatiche, Tel. N.Y., chap. xiv, p. 75.

[4] Sterne, Tristram Shandy, Bk. II, chap. ix, p. 75.

ear, very ill furnished with teeth, and a high, narrow forehead well furrowed with wrinkles.[6]

In physical description the caricaturist in the novel does not differ greatly from the caricaturist on canvas. The major job of the novelist is not physical descriptions, however, but descriptions of actions, follies, foibles, and all the non-physical activities of men. Only where his job is directly parallel to that of the painter can the novelist safely use the same tools and techniques, and only then if he is more interested in the general impression than in the emphatic marking of a single outstanding feature. For instance, since no one of the physical features of Lismahago which Smollett mentions in the passage above is repeated or dwelt long upon, none has more weight than any other. Had any one feature been more important to Smollett than all of them put together, he would have drawn the picture with his own, not the painter's techniques.

Fielding, in The History of Tom Jones, introduces the two minor characters Square and Thwackum with exaggeration and in harmony with the artistic requirement of a singularity which could be maintained in the character with consistency, but which would lend itself to a variety of situations if the author chose to present those characters often. Fielding has carefully given them two "tags" by which the reader may identify them: the headlink of Chapter III,

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[6] Tobias Smollett, The Expedition of Humphry Clinker, Vol. VI, The Works of Tobias Smollett (St. Edmunds Edition; Philadelphia: John D. Morris and Company, 1902), II, Jery Melford to Mathew Phillips, July 10, p. 15.

Book III, begins with the words "THE CHARACTER OF MR. SQUARE THE PHILOSOPHER, AND OF MR. THWACKUM THE DIVINE."[7] Fielding then briefly explains that Square believes that the function of the philosopher is to be a theorist only and that the "true natural beauty of virtue"[8] may exist outside of all rules and religions; Thwackum, his opposite, believes in rules and authority, but only the authority of the religion of man's innate evil. No further description is given the reader.

Immediately after their first introduction to the reader, these two members of the Allworthy household enter into an argument upon the nature of virtue. Thwackum maintains that all virtue is antecedent to religion; Square, that honour and virtue exist (apparently as beautiful abstractions) independently of any religion whatsoever. When Fielding tells the reader that Thwackum, who loves rules for their own sake, prefers the tale-bearing Blifil to the generous but unorthodox Tom, the reader is not only prepared to find Thwackum an unthinking disciplinarian but is given an even more unfavorable opinion of the divine. Square, although he is the ridiculous opposite of Thwackum, is obviously not presented as a major figure of satire, since his philosophy would necessarily be less injurious to the hero than the discipline of Thwackum. He, however, is a definite caricature, a satirical portrait with humor and contrast

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[7] Fielding, Tom Jones, I, Bk. III, chap. iii, p. 92.

[8] Ibid., p. 93.

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[7] Tiedtke, Tom Jones, I, Bk. III, chap. xii, p. 92.

[8] Ibid., p. 93.

with the divine as his principal functions. Square's theoretical philosophy enables him to be somewhat indiscreet in his relations with Tom's ex-mistress, Molly Seagrim, and again, the characteristic action further helps to crystallize the character of the philosopher. Fielding is careful to keep all other actions of the two figures both characteristic and significant, and the result is a heightening of the exaggeration in the original one-detail description of the two men.

In Peregrine Pickle, Smollett introduces the figure of "Commodore Trunnion, which was altogether singular and odd,"[9] as that of a seafaring man who has apparently a great number of characteristics. He is free with his money, swears constantly (but is harmless as a babe), has lost an eye and a heel, and never tires of sea talk and living as though he were in a man-of-war. All of these characteristics are important, perhaps, but they all simply add up to a single characteristic: Commodore Trunnion is a retired sailor. Although the generosity and the swearing and the sea talk all seem to operate independently of each other, they are actually expressions of the same bluff heartiness which is the characteristic of the seaman. A Smollett-ian seaman will act on land as he acts at sea, and he will show the same loyalty to the sea and to his companions that he shows when aboard ship. Once Trunnion is well characterized with

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[9] Tobias Smollett, The Adventures of Peregrine Pickle, Vol. III, The Works of Tobias Smollett (St. Edmunds Edition; Philadelphia: John D. Morris and Company, 1902), I, Bk. i, chap. ii, p. 7.

the character-tag "seaman," Smollett is free to use this identifying trait of the Commodore to its best advantage.

The Commodore is late to his own wedding in a beautifully comic scene in which the seaman in him, under the influence of a strong quartering wind, makes his tack back and forth across the road on his horse in a struggle to make headway to the altar. Even though tacking to his wedding is certainly incongruous, it is just the sort of action one might expect of a comic seaman, so that the incident is perfectly in character. That Trunnion performs the action emphasizes the characteristic by which he becomes known to the reader. Trunnion's seaman-loyalty later occasions his adoption of Peregrine, an act that causes no more disbelief than his tacking to the wedding, because he is known by that very loyalty, and the reader's faith in the characteristic is further strengthened. It was through choosing just such characteristics as these given Trunnion and Square, general and typical rather than aberrant traits, that Fielding and Smollett were able to write long works in which the same characters appear in many different situations. A simple description prepares the reader for any action such a character may take. Given the figures whom he has described with simple tags, the artist is free to involve each character in as many situations as he can tailor for the various individuals with whom he has to work.

Of the three great eighteenth century caricaturists, only Sterne used the complementary technique of reiteration without

previously grossly exaggerating to highlight the traits of his characters. Sterne explains how his device operates:

> I was just going, for example, to have given you the great outlines of my uncle Toby's most whimsical character; — when my aunt Dinah and the coachman came across us, and led us a voyage some millions of miles into the very heart of the planetary system: Notwithstanding all this, you perceive that the drawing of my uncle Toby's character went on gently all the time: — not the great contours of it — that was impossible, — but some familiar strokes and faint designations of it, were here and there touched on, as we went along, so that you are much better acquainted with my uncle Toby now than you was before.[10]

Exaggeration is as necessary to Sterne as it is to any other caricaturist because his purpose is essentially the same, to satirize the "follies and foibles of his age."[11] Sterne, however, chooses to draw the outstanding trait of a character through incessant reiteration, as he has implied in the passage quoted above, rather than by the single bold stroke. The particular style which Sterne found most attractive, a sort of Rabelaisian drollery with its dreadfully serious undercurrent, does not lend itself readily to gross exaggeration. Even in Rabelais the grosser parts of the narrative often dull the satire instead of enhancing it. The delicacy of Sterne's method is such that he has been said to "perceive the infinitely little and describe the imperceptible."[12]

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[10] Sterne, Tristram Shandy, Bk. I, chap. xxii, p. 56.

[11] Wilbur L. Cross, The Life and Times of Laurence Sterne (3rd edition; New Haven, Connecticut: Yale University, 1929), p. 297.

[12] Henri Van Laun, History of English Literature (New York: Henry Holt and Company, 1897), III, 300.

Uncle Toby, whom Sterne says he has characterized "as we went along," is

> a triumphantly simple totality, the divergent excesses of his nature fused within one captivating master excess, a childlike naïveté, a childlike literalness, a supernal innocency.[13]

Yet, if there is one point in Uncle Toby's make-up on which attention can be fixed as an outstanding single feature, it is his military bent which colors all of his thinking and all of his actions. Sterne has said as much.[14] Yet it is the childlike Uncle Toby, not the soldierly one, who is really alive and important, simply because Sterne repeatedly places Toby in situations which will display his naïveté. The military bent of Uncle Toby is simply a specific manipulation of this naïveté. Even in those situations which demonstrate that every thought Uncle Toby has is in terms of war and the military, it is his innocence, not his warlikeness, that one remembers and uses in forming a picture of the good soldier. When the unpleasant Dr. Slop makes a very vulgar pun out of Walter Shandy's mention that Uncle Toby's head is full of "curtins and horneworks," Toby, in innocent seriousness, answers,

> Sir, quoth my uncle Toby, addressing himself to Dr. Slop, — the curtins my brother Shandy mentions here, have nothing to do with bedsteads; . . .But the Curtin, Sir, is the word we use in fortification, for that part of the wall or rampart which lies between the two bastions and joins them —

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[13] Walter L. Myers, "O The Hobby Horse," Virginia Quarterly Review, XIX (1943), 270.

[14] Sterne, Tristram Shandy, Bk. I, chap. xxv, p. 58.

> Besciges seldom offer to carry on their attack directly against the curtin, for this reason, because they are so well flanked. ('Tis the case of other curtains, quoth Dr. Slop, laughing.) However continued my uncle Toby, to make them sure. . .[15]

Uncle Toby's military preoccupation is not so important as his naive desire to make the situation clear to Dr. Slop. The "However, continued my uncle Toby, to make them sure. . ." which completely ignores the doctor's sally is the perfect slight indication that Toby is something of a child, engrossed in his own thoughts, unwilling to interrupt the train of his thought to consider the vulgar rejoinder of Slop. Again, when Walter Shandy mentions the importance of "radical heat and moisture" in the formation of the individual, Uncle Toby immediately remembers the battle of Limerick and the rain at that time which kept him in bed.[16] The fact that Toby remembers a battle is not so important to the characterization toward which Sterne is striving as the fact that every possible occasion will find Toby engaging in childish and innocent associations which have little or nothing to do with the subject at hand. In addition, Sterne is careful to place Uncle Toby in situations which will display only the naivete, such as the episode of the over-grown fly which instead of killing, he shoos out the window with, "This world surely is wide enough to hold both thee and me,"[17] or the astonishment Toby shows

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[15] Ibid., Bk. II, chap. xii, p. 79.

[16] Ibid., Bk. V, chap. xxxvii, p. 283.

[17] Ibid., Bk. II, chap. xxii, p. 80.

[15] Ibid., Ch. II, chap. xxii, p. 79.

[16] Ibid., Ch. V, chap. xxxvii, p. 240.

[17] Ibid., Ch. II, chap. xxii, p. 80.

when he discovers the real reason for the Widow Wadman's interest in the wound in his groin, when she was fruitlessly courting the old soldier. Repetition, even in the face of apparent denial of the characteristic by the author, serves the purpose of exaggeration as well as the more vivid method used by Smollett and Fielding.

Even Sterne found it occasionally necessary to use gross exaggeration. Often he did not feel that he had space enough to draw the portrait delicately, when it was his intention to satirise either the figure he had just introduced or the situation in which it appeared. When Sterne brings Dr. Slop, the inept doctor who delivers Tristram Shandy, onto the scene, he wishes to involve him immediately in an incongruous situation. Within four paragraphs he has dumped Slop into the mud in abject fear.[16] Immediacy forced Sterne to paint Dr. Slop more quickly and grossly than his method ordinarily demanded. To introduce Slop, Sterne writes

> Imagine to yourself a little squat, uncourtly figure of a Doctor Slop, of about four feet and a half perpendicular height, with a breadth of back, and a sesquipedality of belly, which might have done honour to a serjeant /sic/ in the horse-guards.
>
> Such were the outlines of Dr. Slop's figure, which, —if you have read Hogarth's analysis of beauty, and if you have not, I wish you would; — you must know, may as certainly be

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[16] Ibid., Bk. II, chap. ix, p. 76.

caricatured, and conveyed to the mind by three strokes as true hundred.[19]

Having given Slop's physical characteristics and used them to poke fun at the Doctor, Sterne was still at liberty to develop the mental traits of the figure with the same delicate strokes he used on other characters. It was only for the purpose immediately at hand that he used gross satire; when possible he drew with a fine brush rather than a broad one. Lack of space and lack of time occasionally prevented etching, so that Sterne used his housepainter's brush, as he did with Dr. Slop and with Maria, the mad goat girl in Tristram Shandy. The incident of Maria and her goat involves a ridiculous sentimentality which Dilworth says Sterne undoubtedly did not feel.[20] The situation, rather than the characters in it, is the object of Sterne's satire. Even with his own unpredictable vagaries, Sterne is hardly at liberty in the midst of an account of Uncle Toby's love affair to take the time to build a portrait of Maria with his usual multitude of delicate strokes. Therefore, Maria, her goat, and her reed pipe are described hurriedly:

> she was in a thin white jacket, with her hair, all but two tresses, drawn up into a silk-net, with a few olive leaves twisted a little fantastically on one side -- she was beautiful; and if ever I felt the full force of an honest heartache, it was the moment I saw her --[21]

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[19] Ibid., p. 75.

[20] Dilworth, op. cit., pp. 31-32.

[21] Sterne, Tristram Shandy, Bk. IX, chap. xxv, p. 382.

[19] Ibid., p. 75.

[20] Wilmeth, op. cit., pp. 32-33.

[21] Evans, Tyletus Touch, No. 17, chap. xxv, p. 323.

The reader needs to know no more about Maria, and once the reader feels that he knows a character the author is free to use that character to its utmost. With Maria, the utmost utilization attempted by Sterne is a delicate satire on extreme sentimentalism. In the incident it is not necessary for Maria to speak or really to act; the facts that she is mad and that she is actually present are quite enough. Sterne wisely adds nothing more to the portrait. Maria is well enough known that the reader may laugh heartily at Sterne and at the world when

> Maria looked wistfully for some time at me, and then at her goat — and then at me — and then at her goat again, and so on, alternately —
> —Well, Maria, said I softly — what resemblance do you find?[22]

For Sterne to have drawn Maria more fully would have been unnecessary.

Even with the necessity of exaggeration, the method of caricature excludes any descent into painting the merely grotesque. Fielding wrote, comparing the caricaturist's art with simple burlesque,

> No two species of writing can differ more widely than the comic and the burlesque; for as the latter is ever the exhibition of what is monstrous and unnatural, and where our delight, if we examine it, arises from the surprising absurdity, as in appropriating the manners of the highest to the lowest, or _a converso_; in the former we should ever confine ourselves strictly to nature, from the just imitation of which will flow all the pleasure we can this way convey to a sensible reader.[23]

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[22] _Ibid._, p. 383.

[23] Fielding, _Joseph Andrews, Works_, I, "Preface," p. xxxi.

The reader needs to know as much about Maria, and only the reader needs that to know a character the author is free to use that character to its utmost. With Maria, the utmost utilization of-tempted by Sterne is a delicate matter of extreme conditionality. In the instant it is not necessary for Maria to speak or really to exit the room that she is and that she is actually present and quite enough. Sterne simply adds nothing more to the portrait. Maria is well enough known that the reader may laugh heartily at Sterne and at the world when

> Maria looked wistfully for nine kine at me, and then at her yard — and then at me — and then at her yard again, and so on, alternately —
>
> —Ugh, Maria, until I satisfy — that peacefulness is yet dead.[22]

for Sterne to have drawn Maria more fully would have been counter-

Even with the necessity of exaggeration, his method of caricature excludes any descent into painting the merely grotesque. Fielding wrote, comparing the grotesque[a] art with simple burlesque,

> By the practice of writing one dilutes more widely than the reader and the burlesquer for an hour is over the entertainer of mind is wearisome and impotent, and whose are delight, if we except it, arises from the surprising dissimilitude, or in aggravating the meanness of the highest to the lowest, or a quarrel in the former we should ever complain unreasonable avidity to nature, from the just imitation of which all the pleasure we can take may ramify to a sensible reader.[23]

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[22] Ibid., p. 203.

[23] Fielding, Joseph Andrews, Works, I, "Preface," p. xxvi.

It has been pointed out earlier in this work[24] that the aesthetic implications of the novel of caricature differ greatly from those of the psychologically realistic novel, but if the caricaturist is to avoid the merely grotesque or the burlesque he, like any realist, requires much incidentally realistic detail. Unless his figures are to have no relation to life, the artist is compelled not only to remain true to the real nature of man as he sees it, but also to invest his novel with all of the circumstantial verisimilitude from which his particular type of novel can benefit. Yoseloff,[25] Dilworth,[26] and Blanchard[27] have pointed out that the caricatures of Smollett, Sterne, and Fielding, respectively, were recognizably true types of human beings to the contemporaries of the novelists. The whole of the "Apologue" to Smollett's Roderick Random is devoted to an exhortation to the reader that he is not to imagine particular individuals where the type only was meant;[28] and Fielding found it necessary to disclaim any knowledge of an actual Parson Adams.[29]

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[24] Supra, chap. ii, pp. 25-26.

[25] Thomas Yoseloff, A Nation of Infinite Jest (New York: Prentice-Hall, 1945), passim.

[26] Dilworth, op. cit., passim.

[27] Blanchard, op. cit., passim.

[28] Smollett, Roderick Random, Works, I, "Apologue," pp. xxxv-xxxvii.

[29] Fielding, Joseph Andrews, Works, I, "Preface," p. xxxvii.

Although most of the details in the eighteenth century novels of caricature were drawn from real life, Forsythe points out that later readers often judge the truth and veracity of the incidents in those novels by rules and standards which do not apply.[30] The changing modern world forgets, for instance, that man's laws are never in static wont; they change constantly, and some that once were in force seem ridiculous at a later date. When Joseph and Fanny, the two lovers in Joseph Andrews, would face possible transportation if they had been accused of cutting a tree instead of a twig.[31] The reader is inclined to believe Fielding was merely engaging in extreme burlesque of the laws. However, the incident is not burlesque, only ridiculous, because in Fielding's day it was the law that a person was guilty of a felony if convicted of cutting down a "tree growing in a plantation."[32]

For the purposes of satire it is necessary that the caricature stand for a type, or sometimes even for an abstract quality, but in order to be entertaining neither an abstraction nor a disembodied type is satisfactory. Realism of circumstance and occasional realism in the drawing of characters who represent abstractions had been a tradition in English literature even before Langland and Chaucer; the figure of Grendel in the Beowulf certainly has its share of

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[30] Forsythe, op. cit., p. 17.

[31] Fielding, Joseph Andrews, Works, I, Bk. IV, chap. v, p. 184.

[32] Forsythe, op. cit., pp. 114-115.

Although most of the details in the eighteenth century novels of confidence were drawn from real life, Dorothy points out that later readers often judge the truth and veracity of the incidents in these novels by rules and standards which do not apply.[70] One changing modern world forgets, for instance, that mails then were never in night time; they always overnight, and once that once were in force upon relations at a later date. When Joseph and Mary, the lovers in Joseph Andrews, would have possible transportation if they had been accused of raising a true instead of a twig,[71] the reader is inclined to believe Fielding was merely engaging in extreme burlesque of the time. However, the incident is not burlesque, only ridiculous, because in Fielding's day it was the law that a person was guilty of a felony if convicted of cutting down a tree growing in a plantation."[72]

For the purposes of comedy it is necessary that the conclusion sound for a type, or mention even for an abstract quality, but in order to be entertaining neither an abstraction nor a three-bodied type is satisfactory. Details of circumstance and occasional realism in the drawing of characters who represent abstractions had been a tradition in English literature even before Langland and Chaucer the figure of Conduct in the Pearl certainly has the charm of

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[70] Dorothy, Dr. cit., p. 17.

[71] Watkins, Thomas Andrews, Notes, I, No. IV, chap. V, p. 190.

[72] Dorothy, Dr. cit., pp. 113-115.

verisimilitude. Sterne, Smollett, and Fielding were not out of the tradition of English fiction in giving their characters a heightened emphasis through the use of real details. "It is only as events affect people that they become interesting,"[33] and the caricaturists know the requirements of fiction well enough to pour all of their artistry into the painting of figures which will be recognizable as people, if for no other reason than that they want the events which they narrate to be interesting. Indeed, Smollett often went so far in his search for convincing incidental realism that one critic believes Smollett merely reported reality as he saw it.[34] Ford criticises Fielding on the grounds that simple laziness caused over-drawing in his novels;[35] the assumption which Ford has to make in order to bring his criticism to bear is that the incidental realistic touches in Fielding indicate an attitude of modern, detailed realism. The realistic touches common to both the novel which abounds in circumstantial verisimilitude and the psychologically realistic novel are indications of artistic excellence, not of primitive or neglected realism. The subtleties of modern "realism" cannot be expected in every novel in which the author goes to nature, instead of to his

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[33] Elwood, op. cit., p. 2.

[34] George Saintsbury, The English Novel (London: J. M. Dent and Sons, 1919), p. 116.

[35] Ford M. Ford, The English Novel from the Earliest Days to the Death of Joseph Conrad (Philadelphia: J. B. Lippincott Company, 1929), p. 90.

imagination, for his choice of detail. Muller says that Fielding wrote not as a "realist," except as the term implies truthfulness, but as a man to whom occasional verisimilitude is handy,[36] and so also did Smollett and Sterne.

In demonstration of Parson Adam's absent-minded method of muddling straight through life, Fielding sends him ahead of Joseph at one stage of their journey and brings him to a puddle of water in the road. None of the road the good Parson has traveled up to this point is described at all, and except that he felt that details of circumstance would give greater heightening to the incident, Fielding could have left out any description of or comment about the puddle. Instead, he states the exact circumstances carefully, because those circumstances are useful to him:

> He therefore resolved to proceed slowly forwards, not doubting that he should be shortly overtaken; and soon came to a large water, which, filling the whole road, he saw no method of passing unless by wading through, which he accordingly did up to his middle; but was no sooner got to the other side, than he perceived, if he had looked over the hedge, he would have found a footpath capable of conducting him without wetting his shoes.[37]

Neither the hedge nor the footpath is of any interest to Fielding, except that they serve to emphasize the parson's absent-mindedness better than a mere statement that he walked through a puddle of water without even looking for another way past the spot. Shortly after

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[36] Muller, op. cit., p. 39.

[37] Fielding, Joseph Andrews, Works, I, Bk. II, chap. ii, pp. 126-127.

going through the water, Parson Adams wishes to find a public house in which to dry himself. "But seeing no such (for no other reason than because he did not cast his eyes a hundred yards forward), he sat himself down on a stile."[38] Here, description is unnecessary. The mere statement that Adams did not look for the public house is sufficient, implying that the house was in plain sight. Further detail about the stile or the situation of the house is superfluous, so that Fielding may omit it and proceed to something more to his interest.

The Expedition of Humphry Clinker shows less need of circumstantial verisimilitude than Smollett's other novels, relying more on a complete picture of every event through the device of viewing it from the various positions taken by the several letter-writers in the caravan, to give the effect of truth and accuracy. But even in this novel careful circumstantial verisimilitude is occasionally useful. For example, when Humphry is introduced into the party on its travels through England, he is described with the utmost care. His poverty is attested by his bare backside (his breeches had cracked when he climbed on a horse), and his appearance

> was equally queer and pathetic. He seemed to be about twenty years of age, of a middling size, with bandy legs, stooping shoulders, high forehead, sandy locks, winking eyes, flat nose, and long chin -- but his complexion was of a sickly

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[38] Ibid., p. 127.

> yellow; his looks denoted famine, and the rags that he wore could hardly conceal what decency requires to be covered—[39]

Besides giving the reader a concrete picture of Humphry, the details are especially useful to Smollett's later revelation of Humphry as the natural son of Squire Matthew Bramble, the eldest and leading figure of the book. When Humphry has revealed the papers and tokens which prove his kinship with Bramble, Bramble says, "And so in consequence of my changing my name and going abroad at that very time, thy poor mother and thou have been left to want and misery — I am really shocked at the consequence of my own folly."[40] The reader is shocked, too, remembering the picture of Humphry which Smollett had so carefully given before. The physical description also is helpful in allowing Tabitha Bramble's sister and housekeeper, to accept Humphry readily when his identity is revealed to her. The spinster, naturally suspicious when it came to giving advantages to other people, recognizes "the tip of the nose of my uncle Loyd of Fllygdwellyn; and as for the long chin, it is the very moral of the governor's."[41] The revelation of Humphry's parentage and the censure of Bramble's thoughtless neglect of his dependents could conceivably have been accomplished without the circumstantial details with which Smollett

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[39] Smollett, Humphry Clinker, Vol. I, Jery Melford to Watkin Phillips, May 24, p. 122.

[40] Ibid., Vol. II, Jery Melford to Watkin Phillips, October 6, p. 216.

[41] Ibid., p. 218.

had previously acquainted the reader. It is doubtful, however, that they could have been so effective.

Partly because the technique was handed down by Defoe, Smollett's elaborate detail in Roderick Random and Peregrine Pickle is not so surprising. Smollett's attention to detail, however, is usually for more than the sake of apparent reality. One of the caricaturist's biggest jobs is to make his satirical comments emphatic, and it is to this end that the realism in Smollett and in Fielding is often used. For example, Smollett describes the effect of a storm at sea in great detail in Roderick Random.

> I was welcomed by a most horrible din, occasioned by the play of the gun carriages upon the deck above, the crowding of cabins, the howling of the wind through the shrouds, the confused noise of the ship's crew, the pipes of the boatswain and his mates. . .[42]

The storm is believable because of the detail with which it is described, but more importantly, Smollett, in creating a really vicious storm, has prepared the way for a condemnation of the ship's surgeon's utter lack of compassion for his fellow men which results from his cowardice.[43] Jack Rattlin, one of the sailors, too dangerously wounded for the attention of any but the ship's surgeon, might lie on deck and die, but the doctor would not go on deck in the storm.

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[42] Smollett, Roderick Random, Works, I, Vol. I, chap. xxviii, p. 74.

[43] Ibid., pp. 75-76.

Smollett, who hated Roman Catholics, uses a very clever bit of realistic detail both to imply forcefully that the doctor was a Catholic and to give further support to the pretense that the story is true, when he describes the moment of entry into the doctor's cabin to report that a man was wounded:

> I entered his apartment without any ceremony, and by the glimmering of a lamp, perceived him on his knees, before something that very much resembled a crucifix; but this I will not insist upon, that I may not seem too much a slave to common report, which indeed assisted my conjecture on this occasion, by representing Doctor Mackshane as a member of the Church of Rome.[44]

The realistic detail of a light too dim for the speaker to be certain of what he saw makes the situation seem more real than it would through a simple declaration of definitely having seen the doctor kneeling before his altar. Smollett's use of circumstantial verisimilitude throughout his adventure-novels makes them seem more real in addition to heightening the effect of his satire.

Even in The Adventures of Sir Launcelot Greaves, a story "vitiated at the outset by the fundamental absurdity of its design,"[45] of which the plot "is not only rather meagre but also far-fetched,"[46] Smollett carefully used circumstantial verisimilitude in his

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[44] Ibid.

[45] Edmund Wegenknecht, Cavalcade of the English Novel (New York: Henry Holt and Company, 1943), p. 73.

[46] G. M. Maynadier, "Introduction," Sir Launcelot Greaves, Vol. II, The Works of Tobias Smollett (St. Edmunds Edition; Philadelphia: John D. Morris and Company, 1902), p. xv.

introduction to give the story as much of the appearance of reality as he could. The scene is described with care as though it had actually happened.

> It was on the great northern road from York to London, about the beginning of the month of October, and the hour of eight in the evening, that four travellers were, by a violent shower of rain, driven for shelter into a little public-house on the side of the highway, distinguished by a sign which was said to exhibit the figure of a black lion. The kitchen, in which they assembled, was the only room for entertainment in the house, paved with red bricks, remarkably clean, furnished with three or four Windsor chairs, adorned with shining plates of pewter, and copper saucepans, nicely scoured, that even dazzled the eyes of the beholders; while a cheerful fire of sea-coal blazed in the chimney.[47]

In a story so far removed from reality as that of a Don Quixote two-hundred years behind his time, circumstantial realism had its place to dispel some of the mists of pure imagination, but it certainly does not make the story one of realism. The caricaturist is often interested in the appearance of reality, seldom in "realism" as it is known today.

Sterne's method, with its delicacy of touch, its probing of inner consciousness rather than surface characteristics, and its highly sophisticated irony and satire, did not allow for gross traits which would lend a character even the reality of excess.[48] In order to give his characters the appearance of reality and to enhance them

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[47] Tobias Smollett, Sir Launcelot Greaves, Vol. II, The Works of Tobias Smollett (St. Edmunds Edition; Philadelphia: John D. Morris and Company, 1902), chap. i, p. 1.

[48] Sterne, chap. iii, p. 50.

with dramatic value, Sterne relied to a large extent on circumstantial verisimilitude. In a conversation with Uncle Toby, Walter Shandy, Tristram's father, takes off his wig and reaches for his handkerchief:

> Brother Toby, replied my father, taking his wig from off his head with his right hand, and with his left pulling out a striped India handkerchief from his right coat pocket in order to rub his head, as he argued the point with my uncle Toby. — . . .As my father's India handkerchief was in his right coat pocket, he should by no means have suffered his right hand to have got engaged.[49]

Besides the comedy of the episode, it is quite obvious to any reader that no figment of the imagination could have performed so complicated a feat, especially with an "India handkerchief." Sterne usually makes double use of his pantomimes, like the reaching for a handkerchief, to provide the appearance of reality and also to satirize his characters humorously.

In another instance, Walter Shandy is lying disconsolately on his bed, contemplating the vicissitudes of a universe which could deal so many blows to one man. One foot has been tapping the floor, and his left hand, which rested for a time on a chamber-pot, has been hastily removed to a more fitting position on the bed. Walter Shandy breaks his silence of a full hour and a half to speak to Toby.

> Did ever man, brother Toby, cried my father, raising himself upon his elbow, and turning himself round to the opposite side of the bed, where my uncle Toby was sitting in his old fringed chair, with his chin resting upon his crutch — did ever a poor unfortunate man, brother Toby, cried my father, receive so many knocks?[50]

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[49] Sterne, Tristram Shandy, Bk. III, chap. iv, p. 108.

[50] Ibid., Bk. IV, chap. iii, p. 174.

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None of the details are necessary to the scene -- except perhaps the chamber-pot, a farcical element -- and Sterne could with justice have allowed the conversation which follows the picture he paints of the scene to occur in any undescribed place. To have done so, however, would have been to lose an opportunity to assure the reader that the events mentioned took place in real surroundings and were, therefore, real themselves. Even the ass of Lyons to which Sterne feeds a macaroon during his travels and about which he philosophizes on the nature of suffering, humility, and patience is carefully described as having two large panniers on its back and as eating the bitter stem of an artichoke.[51] Any ass would have done, but Sterne wished to reassure the reader that it actually happened, and to a particular ass; therefore, the ass, the event, and the whole story are true, Sterne would have the reader believe.

Use of circumstantial verisimilitude by the caricaturist is the same device used by the raconteur. He embroiders his tall tale with a wealth of detail about the circumstances in which his story is to take place, and he hopes that his audience will recognize the manifest truth and reality of the surroundings. His audience will then more readily accept the unquestioned veracity of the setting as proof, until the punch-line, that the whole story is true.

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[51] Ibid., Bk. VII, chap. xxvii, p. 315.

The traits which the caricaturist selects for his characters have to be chosen meticulously and the surroundings in which the characters move and act authenticated by detail. The caricaturist is no less bound to select and to devise situations in which his characters can be seen to best advantage. Part of the humorous or didactic purpose of the caricature is fulfilled by the situation itself, and the situation is always a comment upon the figures who appear in it. To be effectively satirized, characters must not appear in situations in which they are simply out of place. Obviously, a country squire at Bath or a fop in the squire's home would both be atypical, and only by contrast could the situation be called a comment upon the characters if they were removed from their elements. Such contrast would be good burlesque, perhaps, but, as Fielding says, burlesque was not what the caricaturist desired.[52] Accordingly, when Smollett describes the scene at Bath in Humphry Clinker, his account is of the people who naturally made up the society of that famous resort:

> The ball was opened by a Scotch lord, with a mulatto heiress from St. Christopher's; and the gay colonel Tinsel danced all the evening with the daughter of an eminent tinman from the borough of Southwark -- Yesterday morning, at the Pump-room I saw a broken-winded Wapping landlady squeeze through a circle of peers, to salute her brandy-merchant, who stood by the window, propped upon crutches; and a paralytic attorney of Shoe-lane, in shuffling up to the bar, kicked the shins of the chancellor of England.[53]

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[52] Fielding, Joseph Andrews, Works, I, "Preface," p. xxxi.

[53] Smollett, Humphry Clinker, Works, VI, Vol. I, Jery Melford to Watkin Phillips, April 30, pp. 72-73.

Obviously there is sufficient variety anywhere, and especially at Bath, to obviate the necessity of dragging characters out of their natural elements to take part in the scene. A country squire, for example, would have been quite colorless and a figure more of pity than satire in the brittle society of the resort. The excesses which make up the squire at home would hardly be noticeable at Bath. In his own setting the squire is free to be a very poor judge of music and an ardent hunter, and to surround himself with his shallow, corpulent Justice and his buffoon of a country doctor. Smollett is careful to see that his country squire is drawn in the country where he belongs,[54] and the result is that the squire's own home life comments upon the type and the man, just as the life led by the denizens of Bath comments upon them.

Merely to invent a circumstance in which his characters would be at home, however, is not enough to satisfy the purposes of the caricaturist. If the situations are to be a part of the satire or the humor of the book, they have to be specifically tailored both for the characters in them and for the immediate purpose. For example, Smollett presents the people at Bath as utterly rapacious and selfish, and in order to emphasize his message of censure he designs a situation in which the people can be seen at their worst within their own environment at Bath. A wag has prepared a general tea-drinking and has set upon each table sweet-meats and nosegays, which, however,

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[54] Ibid., Vol. II, Jery Melford to Watkin Phillips, October 3, pp. 184-186.

are not to be touched until a signal is given, at which time each guest is free to help herself without restriction.

> The bell beginning to ring, they flew with eagerness to the desert and the whole place was instantly in commotion. There was nothing but justling, scrambling, pulling, snatching, struggling, scolding and screaming. The nosegays were torn from one another's hands and bosoms; the glasses and china went to wreck; the tables were strewed with comfits. . .[55]

Perhaps a scene which Smollett might have actually observed at Bath would have served as well, but it is unlikely that any situation not so specifically tailored for the satire at hand would have been so effective in reaching the reader not already prejudiced against the people involved in the scene. The author, in his position as interpreter of the facts, feels it his responsibility to present those facts in situations which would make them clear to everyone.

Similarly, in the first scene in which Lady Booby assaults Joseph's honor in Joseph Andrews,[56] Fielding has utilized caricature to its utmost. The character of Joseph, the unsoiled brother of the virtuous Pamela, has been presented before the scene opened, as has that of Lady Booby, who obviously has but one motive — and that motive is Joseph. Sir Thomas Booby, the Lady's husband, has been dead a respectable seven days, and Lady Booby has seen no one but her women during that time. On the seventh day she sends for Joseph to come to her room. Very carefully, Fielding makes sure that she

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[55] Ibid., Vol. I, Jery Melford to Watkin Phillips, April 30, pp. 77-78.

[56] Fielding, Joseph Andrews, Works, I, Bk. I, chap. v. pp. 18-22.

receives the footman in bed. The fact that she is in bed is very important, not merely because it sets the stage for the action to follow, but also because it comments on the lady's willingness to sacrifice her virtue even before she begins her campaign. After a devious preamble which avails the lady nothing, she "raised herself a little in her bed, and discovered one of the whitest necks that ever was seen; at which Joseph blushed."[57] Both Joseph and the lady are completely in character, and the character of each is a satire on the type — the lady of loose morals and the prude. Lady Booby, in character, exclaims, "'La!' in an affected surprise, 'what am I doing? I have trusted myself with a man alone, naked in a bed.'"[58] It was not necessary for Joseph to have blushed nor for the lady to have remarked so pointedly that she was "naked in a bed" for the incident to have been a conventional intrigue, even an intrigue in which the young hero is reluctant.

The opening of the affair between Lady Bellaston and the not-quite-so-reluctant Tom in Tom Jones,[59] for instance, is much more conventional. Lady Bellaston is probably even more willing than Lady Booby, but she confines her overtures to a more or less passive kind of invitation delivered from the relative security of a sitting room. The intent is not so much to satirize the loose woman who

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[57] Ibid., p. 20.

[58] Ibid.

[59] Fielding, Tom Jones, II, Bk. XIII, chap. vii, pp. 200-201.

insists on her virtue as to criticise the type who simply makes no mention of her defenseless purity and expects the world to do the same; not the person but the intrigue is the object of the satire in Tom Jones, and the treatment is necessarily somewhat different. Both Joseph and Lady Booby are meant as caricatures in the first few chapters of Joseph Andrews, and the situation must be constructed carefully to emphasize the outstanding traits of both figures. Nowhere else in either Tom Jones or Joseph Andrews does Fielding draw an intrigue with such point, simply because the ruling passions of none of the other characters are those of Joseph and Lady Booby. To have placed any other figures in exactly the same situation would have been to strain the caricaturist's rule of utter consistency. The figures of caricature would have been forced to remain consistent with their previously established characters in any circumstances. In a circumstance not exactly suited to the characteristics of the people in it, those people would tend to appear to be figures of the imagination rather than caricatured realities.

In the chapter following Lady Booby's assault on Joseph's honor, Fielding departs from caricature to satirize Richardson's Pamela and her too-knowing letters with a letter from Joseph to his dear sister, Pamela, in which Joseph, in spite of his innocence in the presence of Lady Booby, displays a perfect knowledge of the situation: "Dear Pamela, don't tell anybody; but she ordered me to sit down by her bedside, when she was in naked bed; and she held my

hand, and talked exactly as a lady does to her sweetheart. . . ."[60] The effect is excellent as a parody on Pamela, but it destroys the caricature Fielding had carefully built up around the figure of Joseph. Rather, Joseph seems to have acted completely out of character in the preceding scene, so that the characteristic of prudish innocence with which Fielding had endowed Joseph becomes lost from view except as hypocrisy. Unlike his sister, Joseph apparently does not have his faculties delicately tuned to the main chance in life, and his hypocrisy seems rather pointless.

Since Fielding, when he first began Joseph Andrews, was not writing a novel of caricature but a parody of Pamela, it is not surprising that Joseph should be endowed with a pointless hypocrisy. Only when the parody began to bore Fielding did the novel become a novel of caricature, with its own special rules and purposes. Consequently, Joseph is at first neither a good caricature nor a rounded figure who may show growth or deterioration. His two-sided nature is merely an arrangement for the sake of convenience. Fielding has neglected to select the vital, purposeful detail which will bring Joseph to life and give him reality, and the result is not really good novel writing, however successful it may be as criticism of Richardson's novel.

Perhaps one of the most significant indications of the general nature of the caricaturists' technique is that Thackeray linked

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[60] Fielding, Joseph Andrews, Works, I, Bk. I, chap. vi, p. 23.

Hogarth, Smollett, and Fielding together in one chapter of his English Humorists of the Eighteenth Century,[61] and the juxtaposition has never been seriously questioned. Thornbury says that, like Hogarth in his own medium, artists like Fielding attempt to create by merely plumbing more deeply the observable truth of mankind.[62] The artist does not create a thing which does not or could not exist. He follows the already time-honored rule laid down by Cervantes, "Nothing but pure nature is your business; her you must consult, and the closer you can imitate, your picture is the better."[63] Like Hogarth, the caricaturist reports what he sees, and like Hogarth his clever highlighting comments specifically on the facts which the artist chooses to depict.

To summarize the statements in this chapter, the basic principle upon which the caricaturist forms his novels demands that he exaggerate the follies and foibles of his age in order to bring their absurdity home more satisfactorily to the reader. In order to exaggerate a characteristic effectively, the novelist is required to select that trait carefully with the fact in mind that only relatively general traits lend themselves readily to display in a variety of

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[61] William M. Thackeray, The English Humorists of the Eighteenth Century, Vol. XVIII, The Works of Thackeray (Mayfair Edition; New York: P. F. Collier, n.d.), pp. 170-205.

[62] Thornbury, op. cit., p. 136.

[63] Miguel de Cervantes Saavedra, Don Quixote de la Mancha, trans. Peter Motteux (New York: Random House, 1930), pp. xxiii-xxiv.

situations. Merely to name the trait, if it were sufficiently colorful, acts as a sort of exaggeration in itself, but really to comment on the trait — which was the purpose of bringing it into the story in the first place — the novelist is forced to display it as many times as possible in as many different situations as it will appear effectively. The constant display of the trait requires absolute consistency, so that each new appearance of a character is both a comment on his ruling passion and a strengthening of the reader's awareness of that dominant characteristic. Where the novel is stylistically delicate, constant reiteration without previous gross caricature of the single trait serves the purpose of exaggeration as well as more vivid presentation. The result is the same in any event: constant reiteration of a known single trait and constant comment on it are the principal demands upon the caricaturist.

To avoid the possible implication that he paints the merely grotesque and unnatural, the caricaturist uses much incidental realism, usually in the form of circumstantial verisimilitude. If the author draws nature, he wants to be sure that his audience realises the fact that it is nature, not imagination, so that he falls back on the device of surrounding even the most fictional of characters with real circumstances in the hope that the reader will transfer the reality of the situation to the characters in it. Not only probability, but the limits of observable reality, is useful to the caricaturist in making his novels more forceful.

Finally, to give point to his satire the caricaturist usually finds it necessary to adapt his situations specifically to the satire of the moment. Incidents must be carefully constructed so that a character may produce exactly the desired reaction and in order that the reader should not possibly miss the intent of the satire. Again, probability cannot be ignored, but an even more specific tailoring is necessary to the caricaturist than is implied in merely portraying his characters in their own environments.

With all of his technical requirements, however, the caricaturist can never depart from the boundaries of nature and truth. His technique is a device to highlight truth, never to circumvent it; the caricaturist is a commentator on nature, never an inventor of false, imaginary characters in even seemingly natural surroundings.

CHAPTER IV

THE MINOR CHARACTERS

In the novel of caricature, the minor figure is at once more important to the general aesthetic theory and easier to draw than the major character. In the eighteenth century, the minor figure occupied two general types of positions in different kinds of novels. In novels like Richardson's Clarissa, minor figures are usually fragmentary and functional, furthering the story but having no critical purpose; in novels by caricaturists like Smollett, Sterne, and Fielding, they often usurp the stage completely for their brief moment of appearance.[1] Two general types of minor figures appear in the novel of caricature: the incidental and the expanded. Both of them may monopolize the scene at one time or another.

The purely incidental minor caricature, encountered only once, is the device through which the author is able to portray and satirize many features of a large cross-section of society. The expanded minor figure is met many times, and through him the author satirizes society more kindly, more humorously; the caricaturist also uses the expanded minor figure to give continuity to the satire of the novel and to provide contrast with and relief from the serious satire of the incidental minor characters.

Two distinct uses are made of the expanded minor figure, as the sympathetic and as the adjunctive minor character. The

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[1] McCullough, op. cit., p. 291.

sympathetic expanded minor figure is concerned with the adventures of the hero, but he is usually not directly involved in his fortunes. Like Parson Adams in Joseph Andrews and Hatchway in Peregrine Pickle, the sympathetic minor is the hero's friend but is not subordinate to him in position.

Two types of adjunctive minor figures, the companion and the complement, appear. The companion type of adjunctive minor figure is used to assist a major figure into and out of difficulties, to run his errands for him, and to bring him information. The complementary adjunctive minor figure is used in the same manner as the companion, but he also serves to complement the outstanding trait of some other, more major figure. Through a combination of all types of minor figures, the caricaturist makes his humorous comments and his serious criticism.

In the novel of caricature the minor figure may be on stage so much that he actually occupies nearly as much space as a major character. It is only because the fortunes of the minor character are of secondary importance that he is minor in the story. Actually, he may be of major importance to the author's purpose and remain a minor character because of his position in the story. Some minor figures who occupy much space are treated satirically and without sympathy, like Blifil, who, as Tom Jones's adversary, must appear in many parts of the novel. But the episodic nature of most novels of caricature usually makes it unnecessary to use an individual

antagonist more than once or twice. Most expanded minor figures, like Adams, Strap, Partridge, Pipes, and Trim, are sympathetically treated and are more figures of fun than of heavy satire.

Simple caricature is probably one of the best devices yet found for minor characters in the novel, whether the minor character is a villain or a comic and whether the minor character is to be sympathised with or satirised. It is adequate that, as one critic writes,

> a minor character, a chorus part, should be recognizably "good," or "bad," or morally neutral, should be comic or pathetic or anything you like, so long as he is recognizably human; but a principal character presented in such simple terms cannot engage the interest or persuade the imagination of the reader.[2]

Quite often, the minor characters of Sterne or Fielding seem to be his best characters, simply because the method used is specifically designed for the minor character.[3]

Rather than study one individual intensively, the caricaturist can be said to intend to comment on all of the ordinary actions and passions of life.[4] One character, no matter how fully examined, would be little more than a grotesque, or at best a prodigy, if he embodied all the passions to be found in any society. Only through

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[2] Gerald Bullett, George Eliot, Her Life and Books (New Haven, Connecticut: Yale University, 1948), p. 193.

[3] Wilson Follett, The Modern Novel (New York: Alfred A. Knopf, 1918), p. 35.

[4] Thackeray, op. cit., p. 4.

minor characters, who can usurp the stage completely for their moment of appearance and then be forgotten, could the author possibly reach all of the follies and foibles of his age. The caricaturist's method was developed largely as a result of the need for a wide variety of vivid, easily recognizable minor characters, each with his own foible by which he would be known and through which the author could satirize the type for which the minor character stood.

Virtually no description is needed to enable the caricaturist to satirize effectively a minor character with his singular foible. A single trait is named, that trait assumed for the character, and a situation invented so that the character may show that particular trait to advantage. Not only does the utilization of a wealth of minor characters help the caricaturist further his satirical purpose; it also creates interest through the humor in most satirical minor portraits. Draper states that during the eighteenth century in England critical theory and public taste identified the comic as the sudden satire of the incongruous;[5] it is not surprising, then, that the novel of caricature made its first successful appearance at that time, since the novel of caricature depends almost wholly on satire of the incongruous for the humor necessary in keeping the novel both instructive and entertaining. Nothing is easier, to the truly inventive novelist, than to engineer a wide variety of situations

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[5]John W. Draper, "The Theory of the Comic in Eighteenth Century England," JEGP, XXXVII (1938), 222.

which will be incongruous if peopled with the right characters. Caricature still makes use of the eighteenth century idea of incongruity and humor both to arouse reader interest and to heighten the satire of the book.

Fielding and Smollett were particularly cavalier in their treatment of minor characters, habitually bringing them onto the scene, introducing them, using them, and then forgetting about them. In Joseph Andrews, Joseph, who has been robbed, stripped, and beaten severely, meets a carriage-full of people whose mission is to carry him to the next inn on the road. Within the coach are a lady, two gentlemen, a coachman, and a postilion. All but the postilion are quite opulent, but charity seems not to be a virtue among those who have the means to be charitable. "'O *J*-sus' cried the Lady: 'A naked man! Dear coachman, drive on and leave him'"[6] The older gentleman is equally concerned with Joseph's plight: "'let us make all the haste imaginable, or we shall be robbed too!'"[7] Joseph is not to be left naked in the ditch, however. The third passenger, a young lawyer, insists that Joseph be taken up, because "'if he should die they might be called to some account for his murder.'"[8] To heighten the satire and to emphasize the selfishness of Joseph's rescuers, Fielding has all of the men but the postilion refuse to cover Joseph with any

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[6] Fielding, Joseph Andrews, Norton, I, Bk. I, chap. xii, p. 59.

[7] Ibid.

[8] Ibid.

[5] Fielding, *Joseph Andrews*, Preface, I, No. 1, orig. ed., p. 5.

[6] Ibid.

[7] Ibid.

of their spare coats. The postilion

> (a lad who hath since been transported for robbing a hen-roost) had voluntarily stripped off a great-coat, his only garment, at the same time swearing a great oath (for which he was rebuked by the passengers), "that he would rather ride in his shirt all his life, than suffer a fellow-creature to lie in so miserable a condition."[9]

As soon as the coach has taken Joseph to the nearest inn, its passengers are seen no more. In their place a whole new set of characters are introduced, each with a singular foible, different from the selfishness shown by the occupants of the coach. The inn-keeper, Mr. Tow-wouse, is hen-pecked and cowardly; he says to his domineering wife, "a. .do as you will, when you are up: you know I never contradict you."[10] Mrs. Tow-wouse is as selfish as the coach people, but here is a different selfishness, more an actual avarice than simple self-interest. When told that Joseph is a poor wretch who has been robbed, she replies, "Where's his money to pay his reckoning? Why doth not such a fellow go to an alehouse: I shall send him packing as soon as I am up, I assure you."[11] Joseph stays at the inn for some time while he recuperates, however, giving Fielding opportunity to bring in a quack doctor, the village parson with his taste for the punch-bowl in preference to the confession bed, and the good Parson Adams, who, in spite of the shortness of his

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[9] Ibid., p. 61.

[10] Ibid., p. 66.

[11] Ibid., p. 65.

memory which leaves Joseph stranded at the inn with no money to redeem Adams's horse, is a foil to set off the shortcomings of the other two visitors. When Adams leaves the inn, Fielding follows him a way to comment upon his short memory and does not bother even to return to the inn to abstract Joseph from his monetary difficulties. The inn no longer has any real interest to Fielding, so that he merely has Mrs. Slipslop arrive at the next inn, where Adams has temporarily established himself, and tell the person that she has taken care of Joseph and the horse. At this inn and in the coach in which Slipslop and Adams later travel on together, Fielding has more opportunity for satire, but these devices, too, are forgotten as soon as they have fulfilled their purpose of bringing new characters and situations into the book for satire and humor.

It would be tempting to try to prove that Fielding invented the incident of the robbery and the beating of Joseph simply to give himself an opportunity of bringing in the characters in the coach and the people at the inn, but proof of such an assertion would be difficult. It does seem likely that Fielding was at least as much interested in the characters as in the adventurous incident itself. No real suspense is used: it is obvious that Joseph is going to be overpowered when he is first attacked; he is going to recover, which

Fielding implies by having the quack doctor predict his demise; and Joseph's embarrassed stay at the inn could not possibly be protracted longer than it would take Parson Adams to realize the difficulty and return to take care of the situation. On the surface it would seem that the scene is rigged merely to allow Fielding to comment upon human nature.

Smollett occasionally goes even further than Fielding in the introduction of minor figures who have no real, necessary purpose in the story. Sometimes Smollett even introduces figures by mere report, in order that he may comment upon the particular aspect of society which they are to represent, before he passes on to something else. In Humphry Clinker, Smollett has Jery Melford mention a ten given by a man named Pounceford, who, now a man of some affluence, "seems uneasy at sight of some old benefactors, whom a man of honour would take pleasure to acknowledge."[12] Jery has named the trait; Smollett then illustrates it briefly by having Matthew Bramble and Jery accidentally run into one of the benefactors, a friend of Bramble's whom he has not seen in some time. The incident is obviously a manipulation to allow Smollett to make his satire. The benefactor, Mr. Gorle, is in a precarious financial position, and the reader feels he is partly so as a result of his generosity to Pounceford, who now lives in a palace.

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[12]Smollett, Humphry Clinker, Works, VI, Jery Melford to Watkin Phillips, May 10, Vol. I, p. 101.

> Pounceford, however, does him the honour to speak of him still, with uncommon regard; and to declare what pleasure it would give him to contribute in any shape to his convenience: "but you know (he never fails to add) he's a shy kind of man — And then such a perfect philosopher, that he looks upon all superfluities with the most sovereign contempt."
>
> Having given you this sketch of squire Pounceford, I need not make any comment on his character, but leave it at the mercy of your own reflection; from which I dare say, it will meet with as little quarter as it has found with [Jery himself].[13]

Apparently Smollett felt that the situation and the satire deserved no more than brief mention. Smollett describes the character of Pounceford by saying that he was uneasy at the sight of old benefactors, and nothing is needed after that but to illustrate the character of the man in some typical situation. The satire was complete without further amplification. The character had only been intended for the satire, not for the story, so no further description is given of him, nor does he appear again.

Such scene manipulation and invention is forced upon the caricaturist by the job which he sets for himself in the criticism of all the foibles of the society of his day. No group of characters who would ordinarily be found together could long remain credible and exhibit a really wide range of vices at the same time. The vices of casual passers-by can be exploited briefly, can even contribute to the story as do the selfish attitudes of Fielding's coach passengers, and yet do not demand of the author any intricate interweaving. One vice need not grow out of another in the episodic treatment used

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[13] Ibid., p. 105.

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[12] Ibid., p. 105.

by the caricaturist; all the connection the different representatives of mankind's foibles need is some relatively vice-free individual with whom the excesses of most people will contrast effectively. Fielding's Joseph Andrews, in the later chapters of the novel, concentrates on being a good young man and through simple decency emphasizes the vices of others; Parson Adams is a little ridiculous in his almost complete other-worldliness, but he is kind, generous, and honest, and the people he meets seem worse for his presence. It is not necessary to contrast directly all satirized figures with some sympathetic figure, but to do so provides a constant focus around which criticism of society can revolve.

By contrasting one character with those characters who are satirized, the caricaturist may more easily bring into the scene almost any figure he thinks might add humor or be of use as a figure of satire. In attempting to display his satirized figures to best advantage, the caricaturist is faced with the responsibility not only of placing even his most minor characters in situations which will be humorously incongruous, but also of inventing these situations in such a way that the known traits of the figures fit the scene. The author is not always successful in keeping his humor and his story strictly consistent with the known characteristics of his figures.

A comparison of two almost identical scenes from Smollett will serve to illustrate the possible trap into which an author of

caricature may fail in his attempts to satirize minor figures to whom he has not previously devoted any space. In one scene in Humphry Clinker, Smollett has used his medium to its best advantage; in Peregrine Pickle, a parallel scene is nearer to dirt-casting than to satire. It is said that in his earlier works Smollett often seems not to know the difference between satire and scurility.[14]

In Peregrine Pickle, Peregrine is introduced into a company of authors who are about to begin to eat. The president of the assembly, seeing some of the members whispering, cautions them that there are to be no secrets. In the scene, Smollett makes the mistake, first, of not properly introducing the incongruities in the personalities of characters, and second, of not giving them traits which will become apparent through action or conversation. One of the members of the group who had been censured by the president for his whispering, an epic poet called Mr. Metaphor, then attacks the president.

> The epic poet, believing his antagonist crest-fallen, resolved to take the advantage of his dejection, that he might enhance his own character in the opinion of the stranger, and with that view asked, with an air of exultation, If a man might not be allowed to have a convulsion in his eye, without being suspected of conspiracy. The president perceiving his drift, and pequed at his presumption, 'To be sure, (said he), a man of a weak head may be very well supposed to have convulsions in his eyes.' This repartee produced a laugh of triumph among the chairman's adherents; one of whom observed, that his rival had got a smart rap on the pate. 'Yes (replied the lord) in

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[14] Fred W. Boege, Smollett's Reputation as a Novelist (Princeton, New Jersey: Princeton University, 1947), p. 10.

> that respect Mr. Chairman has the advantage of me. Had my head been fortified with a horn work, I should not have been so sensible of the stroke." This retort, which carried a severe allusion to the president's wife, lighted up the countenances of the aggressor's friends, which had begun to be a little obumbrated; and had a contrary effect upon the other faction, till their chief, collecting all his capacity, returned the salute, by observing, that there was no occasion for an hornwork, when the covered way was not worth defending.
>
> Such a reprisal upon Mr. Metaphor's yoke-fellow, who was by no means remarkable for her beauty, could not fail to operate upon the hearers. . .[15]

Smollett has followed the caricaturist's rule of not describing incidental minor figures any more than is absolutely necessary; but even though the caricaturist might desire to spend as little time as possible in describing his minor characters, the traits of each must have been clearly indicated before the satire, or the joke, takes place. In the above incident from Smollett, the individual characteristics of the authors, which had not been made clear before, are not specifically indicated, so that all of the satire and most of the humor are lost. Both Mr. Metaphor and the president are apparently motivated by self-importance, and the scene seems to have been included as a broad satire on the hack-writers who inhabited London in such profusion at the time, but real satire seems missing from the incident. The joke, which could never have been of the best, fails even more because of the necessity of explaining the generating circumstance after the climax has already passed.

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[15] Smollett, Peregrine Pickle. Works, IV, Vol. IV, chap. xciii, pp. 109-110.

By the time he wrote Humphry Clinker, Smollett's art had matured, and he understood his medium better. Jery Melford, in writing to his friend, Sir Watkin Phillips, describes a gathering of authors in London which is very similar to that described in Peregrine Pickle. The scene is the home of a successful author, Mr. S_____, who is not to be satirized. The authors, gathered around Mr. S_____ to partake of his hospitality, are all figures of satire. Smollett is very careful to endow them with peculiarities before applying his criticism and his wit. The result is excellent satire.

> . . .If there was nothing characteristic in the entertainer, the company made ample amends for his want of singularity.
>
> At two in the afternoon, I found myself one of ten messmates seated at table: and I question, if the whole kingdom could produce such another assemblage of originals. Among their peculiarities, I do not mention those of dress, which may be purely accidental. What struck me were oddities originally produced by affectation, and afterwards confirmed by habit.[16]

For instance, one of the group wears spectacles, although he can see a bailiff with a seaman's eye; another pretends to be mad:

> At first I really thought he was mad, and as he sat near me began to be under some apprehensions for my own safety, when our landlord, perceiving me alarmed assured me aloud that I had nothing to fear. "The gentleman (said he) is trying to act a part for which he is by no means qualified -- if he had all the inclinations in the world, it is not in his power to be mad. His spirits are too flat to be kindled into a frenzy." "Tis no bad p-p-puff, how-ev-ever (observed a person in a tarnished lace coat): aff-ffected n-madness w-will p-pass for w-wit w-with nine-ninet-teen out of t-twenty." -- "And affected stuttering for humour:" replied our landlord.[17]

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[16] Smollett, Humphry Clinker, Works, VI, Jery Melford to Watkin Phillips, June 10, Vol. I, p. 186.

[17] Ibid., pp. 189-190.

Just as in the incident in Peregrine Pickle, the humor in this hinges on repartee and rejoinder, but the audience is prepared for the humor by the characteristics of the people. One of the rules of any fiction, especially of caricature, is that nothing which happens to a character should result in a reaction for which the reader has not been prepared by the known traits of that character.[16] Since the host is a man of sense, it is to be expected that he will scorn all hypocrisy and affectation; the "madman" is a mere prop, but the reader is prepared for the host's rejoinder to the "stutterer" by the short speech of the man himself. If Smollett intends no other satire of the "stutterer" than the one on his obvious peculiarity, he has perfectly characterized the man by giving him a characteristic speech. Anything further would have been superfluous. Had Smollett tried to ridicule the "stutterer" for any identifying tag, like an unfaithful wife or clothes which were out of place, for which the reader had not been forewarned, the humor of the situation would have been much less effective.

The whole of the scene in Humphry Clinker is equally artistic. Jery's friend, Dick Ivy, characterizes himself by his criticism of the other authors at the table and by his contempt for their lack of gratitude to the generous $_____. The reader is not surprised, then, to find that Ivy's criticism of the others is not consistent with his own faulty character — he is, himself, bitter with $_____

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[16] Elwood, op. cit., p. 17.

because in a journal edited by the host one of Ivy's works received critical examination rather than mere hypocritical praise. By his intolerance of the other authors Ivy shows that he is as jealous and weak as the rest, so that his reaction is perfectly in character. When one of the authors steals a pair of boots belonging to a bookseller, the reader accepts the incident because Smollett has utilized a single characteristic to set the audience against the bookseller. Anything which happens against the bookseller is good: the bookseller needs no other characteristic than his opulence, gained at the expense of the starving authors whose works he sells.

The occasional minor character, then, appears on the scene, demonstrates his single foible, and disappears as soon as his small part is played. Any amount of incongruity which the author can attain in the presentation of these "hit parts" is acceptable; indeed, the highest point of vividness is sought in order to make the character immediately known by his single trait. Any analysis or description beyond a simple presentation of the figure's outstanding trait would be both unwieldy and unsuited to the purposes for which the author designs these minor figures. Occasionally, when a minor character becomes more important to the story and occupies more space than the mere flash-on, flash-off figures, the caricaturist's job becomes more complicated.

In order to present a figure many times in his novel, the caricaturist must either make him very likeable or use him as one of

the hero's antagonists. If the figure is to be used as an antagonist throughout a novel, it is not really necessary that he have any outstanding characteristic, except a propensity to foil the hero in all of his endeavors. Blifil, in Tom Jones, on various occasions is pious, lying, avaricious, or sneaking; he buys Tom's Bible in order to show that Tom had no respect for the book, and he sets Sophia's bird free because he sees an opportunity to do mischief and at the same time to receive approbation from Thwackum. As a character he is not convincing because he has so many diverse characteristics that he cannot be recognized by any of them, but he does not need to be recognizable. Blifil's function in the book is to act as antagonist to Tom, not to portray any vice except the general one of hypocrisy and self-interest, which, although much the worst of all possible vices, is characteristic of many different types of people who have other distinguishing traits. It is enough that the figure of Blifil can be counted upon to enter the picture occasionally to make things difficult for the hero; real caricature of him is not necessary. Peregrine's mother and brother in Peregrine Pickle serve the same necessary but not stimulating purposes.

While the caricaturist turns to a large variety of completely minor figures for many of his humorous comments upon society, he does not rely upon them for kindly humor, a necessity in offsetting harsh social criticism which might otherwise be too heavy for sustained reader interest. Instead, he turns to sympathetic minor figures who

who are expanded so that they occupy much space but who do not thereby become major figures in the story. A sympathetic character generally is helpful to the hero or to some other major figure, is his servant, mentor, or confident, and is also a source of humor and gentle satire. The sympathetic expanded minor figure, whose fortunes are not directly important to the story, who can be counted upon to exhibit the same trait every time he appears, probably has as much of a share in capturing interest as does the hero. The purpose of the expanded minor figure is of much greater importance than his position in the story itself.

The episodic nature of the novel of caricature permits the use of a caricature many times in a long work. Elwood points out that the caricature "cast in a major role, is [specifically] suited to the story of Purpose,"[19] and the novel of caricature, aside from the story about which it centers, is a loose collection of short stories each with its own purpose, roughly connected because they concern some of the same people. Both the major figures and the expanded minors serve in major roles as connecting links and as principal figures in individual episodes. In order to be used in many different episodes, it is necessary that the single trait of the expanded minor be selected with great care. The trait of the expanded minor character must be at the same time sufficiently general to allow re-use and sufficiently ludicrous to allow incongruity.

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[19] Ibid., p. 210.

[19] Ibid., p. 210.

Because he is a figure of satirical humor, the expanded sympathetic minor figure is largely responsible for the predominantly humorous satire in the novel of caricature.

In using the sympathetic expanded minor figure the author is forced to refrain from too much incongruity. Once a character has been introduced sympathetically he cannot be seriously satirized and remain a good caricature, because the trait which has previously made the figure attractive to the audience cannot be used for serious satire, and any traits contrary to the good one which the author adds for the sake of convenience or full portraiture might destroy the unity of the original portrait. The caricature can be a figure of fun and gentle irony, however, and remain completely in character, if the original trait is humorous and at the same time sufficiently general to allow it to be used in many different situations. The characteristic of a wholly theoretical philosophy which Fielding gave to Square in Tom Jones allows the ludicrous picture of Square caught in his indiscretion with Molly Seagrim, but because Square is relatively harmless Fielding cannot ever satirize him heavily. Thus, when Square makes his last appearance in the novel through a death-bed letter to Allworthy, he is pictured as having finally muddled his way through to a perception of the truth of religion. The portrait of Thwackum, Square's opposite, is never sympathetic, so that the divine never arrives at a truly Christian interpretation of the Bible which he professes to teach, and at the end of the book he is shown

bitterly lamenting the worldly possessions denied him. Square is in essence a sympathetic expanded minor figure, but Thwackum is in no sense sympathetic.

Sterne's people are all said to be better suited for minor roles than for major ones,[20] and they all fill roles which are in a sense minor; none of them, at least, occupies as clearly major a position as that of Sterne himself. Only the heroes and their ladies in the novels of Fielding and Smollett can be said to fill really major roles. Commodore Trunnion, one of Smollett's outstanding minor figures in Peregrine Pickle, is involved in a romance which culminates in his marriage in the early chapters of the book, but the marriage itself is of far less interest than the kindly humor directed at Trunnion and his wife. In Fielding similar instances arise of the minor figure whose engagement in an adventure is invented for the sake of illustration of traits rather than for the sake of real interest in the caricature's fortunes. For example, Partridge, in Tom Jones, is for a time suspected of being Tom's father, but the reader's real interest is in Partridge as a clown who suffers from his wife's sharp tongue and who exaggerates Tom's position and qualifications when he talks to strangers, rather than as a figure of mystery. Because the sympathetic minor figure seldom occupies a really major role in the story, the treatment given such a character must carefully follow the rules of caricature if it is to be at all

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[20] Myers. "O The Hobby Horse," op. cit., p. 273.

[20] Ibsen, "On the Body Terms," pp. 416-

effective. Most importantly, consistency in the characterization of such minor figures is necessary so that incongruous incidents in which he is involved can be consistent with his known characteristics and at the same time allow the reader easily to recognize the figure.

Parson Adams in Joseph Andrews occupies almost as much space as does Joseph; yet he is a minor figure in the sense that what happens to him is not of prime concern to the reader. Because Adam's type of minor figure carries much of the humor of a novel of caricature and often is even more memorable than the hero of the story, he seems to fill a major role in the novel of caricature. He is a perfect caricature, impressing the reader with a sense of reality without violating any of the rules of caricature. He shows no growth or development; yet because the situations in which Fielding involves the good parson incongruously display the parson's outstanding trait of other-worldliness, Adams can react consistently without once departing from the pattern of behavior by which he is known. He can convince the reader of his reality through simple consistency. Because of the clever adaption of situations to Adams's personality, he is capable of "surprising in a convincing way,"[21] the test laid down by Forster for rounded characters, although he clearly has but a single dominant trait. Furthermore, he is a definite type, representative of all good-hearted, absent-minded, not-quite-of-this world

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[21] Forster, op. cit., p. 118.

ministers who consistently confute the harmless parts of their religious theories by acting too much the human part.

Fielding builds the whole picture of the minister on the one outstanding trait. When Adams is first introduced at the inn where he comes to Joseph's rescue, he might be any traveler in the world, if his concern for upholding the dignity of his office is any indication. Mr. Barnabas, the parson of the parish near the inn, expresses his surprise some time after Adams's arrival, "Is the gentleman a clergyman, then?' says Barnabas, (for his cassock had been tied up when he first arrived.)"[22] No self-respecting clergyman would have been seen traveling with his cassock tied up in an unclerical manner, but Adams is above such worldly considerations as self-respect. It is not that the ways of the world are beyond him; they simply are matters of no concern to him. He has been given the characteristic by Fielding for the purpose of humor, and nowhere does he desert the single trait. When Adams loses his way because he is absorbed in his Aeschylus, he is not adding further traits to his one characteristic: he is merely underlining what one critic has called his total inability to live in a world not of his own making.[23] Nothing Adams does indicates any possibility of change, either during the time covered in the novel or at any implied future time, and in

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[22]Fielding, Joseph Andrews, Works, I, Bk. I, chap. xvi, p. 97.

[23]Thornbury, op. cit., pp. 142-143.

this he is in perfect harmony with the tradition of the caricature. Parson Adams consistently is involved in one incident after another, for the sole purpose of illustrating again his propensity to ignore conventionality and reason.

If Parson Adams does not appear to be thoroughly exaggerated when he is first introduced, he becomes so after his single trait has been repeated time and again. The trait of otherworldliness is exaggerated to such an extent that it obscures all other characteristics in the good parson. Mrs. Adams says of her husband, "'I am certain you do not preach as you practice; for you have been a loving and cherishing husband to me, that's the truth on't,'"[24] but it is not the fact that Adams is a good husband that stands out in the scene. Rather, it is the purely theoretical nature of the philosophy he has just been preaching to Joseph -- that the passions must never be expressed, even to one's wife -- which is important, emphasizing again the incongruous inability of the person to connect anything he knows or thinks to his own life. Adams's trait leads him on one occasion trustingly to believe that a neighboring clergyman will lend him money simply because they are both of the cloth, and on another to agree unquestioningly to Lady Booby's scheme to separate Joseph and Fanny, for no other reason than that he assumes that the lady, as the widow of his former squire, will naturally be right in whatever

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[24] Fielding, Joseph Andrews, Wegin, II, Bk. IV, chap. viii, p. 217.

she says. Adams adds his humor nicely to the book without ever ceasing to be himself.

Caricatures like Adams are more to be laughed at and to be understood, than to be studied, even though they occupy much space in the novels. Like those of incidental minor figures, the situations in which they are involved are to be studied through the demonstration of a trait in action. When Mrs. Adams reminds Joseph that the person is also a good husband, insight into Adams is not so important as the situation. In it Adams lapses again into a confused world of his own making which has nothing to do with reality, a world which the reader has already been shown. The nature of Adams is so simple and likeable that when he arrives at the country justice's too late to help Joseph and Fanny, who have been rescued by Lady Booby's brother-in-law, Pamela's husband, he is almost a figure of pity because he failed to do good for someone else. And only when Adams "fell to rubbing his hands and snapping his fingers, as if he had been mad,"[25] is the scene demonstrably complete; only when Adams, recognizable always, enters the scene mad, with his pantomime, signals its end, does it really come into focus. Fielding says that Adams is intended as a "character of perfect simplicity";[26] to have changed

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[25] Ibid., chap. v, p. 188.

[26] Ibid., I, "Preface," p. xxviii.

[84] Hale, chap. 8, p. 128.

[85] Hale, 2, "Trains," p. unnumb.

such a character for the sake of any incident or to bring any episode to a close would have been, to Fielding, a serious breach of faith.[27]

In spite of Fielding's avowed intention to portray a character of perfect simplicity, Adams appears in such a variety of adventures that he seems to be a rounded figure. When Adams first appears, he is an unworldly, intelligent, learned minister who wastes his time teaching Joseph Latin and Greek; later he is the absent-minded writer of sermons which he leaves behind him. Again, he is a victim of his own pet hate when he displays an overweening pride in his missing sermon on Vanity. In another instance, the intrepid parson plunges gaily into a fray in which he has no part, only to get himself liberally drenched with a pailfull of hog blood. Even in such a wide variety of scenes the caricature of Parson Adams can neither learn nor change. In his last appearance in Joseph Andrews he is seen refusing to accept a living which would increase his income by about 500 percent simply because he does not wish to leave the parish where he has starved with his large family for so long. Only the reminder that he could keep a curate at the living would induce Adams to accept it. Adams's willingness to engage in battle, no less than his failure to bring with him the sermons, is a manifestation of a soul which operates in a world of its own. To Fielding that is the essential Parson Adams, and is all he is intended to be; it is enough in

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[27] Fielding, Tom Jones, Works, I, Bk. VIII, chap. i, pp. 373-374.

[7] Fielding, Tom Jones, I, Bk. VIII, chap. 1, pp. 343-344.

the hands of a caricaturist to produce a memorable portrait. When Parson Adams can be laughed at for his failure to observe a mud-puddle, the reader has a welcome respite from the harsh satire to which Mrs. Tow-wouse has been subjected in the previous chapters. Such a character as Adams is a perfect choice to lend continuity to the novel of caricature. The story could stand by itself, perhaps, but without an Adams, or a Trim, or a Pipes, the satire of the novel of caricature would never be so entertaining, because it would lack the focus given by such figures.

Even for the sake of intensified satire or of a better story, the author cannot allow a sympathetic caricature to change. In The Expedition of Humphry Clinker, Smollett seems to have created for the title role a caricature which upset his plans for the story. Standard criticism of Humphry Clinker is that the title role is occupied by a character too minor to be of any real importance in the story; Humphry is often thought to be more of an afterthought than anything else.[28] Smollett gives some hints, however, which indicate that Humphry was originally intended to be the one major figure of satire in the novel.

If Humphry were to have a role of such significance, it is natural that Smollett would have taken much more pains with his introduction than he did with any of the other figures, even those who are with the caravan from the beginning. Winifred Jenkins and Tabitha

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[28] Wagenknecht, op. cit., p. 73.

Brambles become known to the reader by the type of letters they write long before the commentator, Jery Melford, gets around to describing them to his correspondent, Watkin Phillips. Humphry, however, is introduced with force and vigor, is ridiculed openly from the very first, as a "beggarly rascal. . . he had ne'er a shirt to his back; and had the impudence to shock [Tabitha's] sight by shewing his bare posteriors,"[29] and as a whining, self-effacing boy who replies to Tabitha's charge that he is an impudent varlet to ride so before her, "I am so, an please your worthy ladyship (said he) but I am a poor Wiltshire lad — I ha'n't a shirt in the world, that I can call my own."[30] The ridicule is not consistent with the character which Smollett seems to have envisioned for Humphry, however, since he is not really guilty of anything blameworthy. Rather, as Matthew Bramble puts it, "Mark ye, Clinker, you are a most notorious offender — You stand convicted of sickness, hunger, wretchedness and want."[31]

Humphry, after such an introduction, could not very well be a heroic figure because of his self-effacing manner. On the other hand, his lack of an outstanding trait worthy of criticism shows that he is not well suited to satirical treatment. Smollett, however, apparently did intend to use Humphry as a figure of satire, in which

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[29] Smollett, Humphry Clinker, Works, VI, Jery Melford to Watkin Phillips, May 24, Vol. I, p. 122.

[30] Ibid., p. 123.

[31] Ibid., p. 124.

unthinking evangelistic religion is the outstanding vice. Upon the arrival of the Bramble party in London, Humphry is seen surrounded by a crowd of lacquys and chairmen, "exalted on a stool, with his hat in one hand, and a paper in the other, in the act of holding forth to the people."[32] Later, Bramble learns that Humphry has been harranguing the crowd to mend their habits of speech and give up swearing. Once Smollett had given his character the entirenble trait of extreme religiosity, he felt free to embroil him in adventures which would exhibit its foolishness. To emphasize his own position, Smollett has Bramble question Clinker on his religion and admonish him to be careful about it:

> Hark-ye, Clinker, you are either an hypocritical knave, or a wrong-headed enthusiast; and in either case, unfit for my service — If you are a quack in sanctity and devotion, you will find it an easy matter to impose on silly women, and others of crased understanding, who will contribute lavishly for your support — If you are really seduced by the reveries of a disturbed imagination, the sooner you lose your senses entirely, the better for yourself and the community. . . .
> "It is very possible [said Humphry] I may be under the temptation of the devil, who wants to wreck me on the rocks of spiritual pride — Your honour says, I am either a knave or a madman; now, as I'll assure your honour, I am no knave, it follows that I must be mad. . ."[33]

The scene is not very well done, partly because such direct comment is not the method of the caricaturist. Yet, it was impossible to involve the simple-minded Humphry in any very incongruous scrape:

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[32] Ibid., June 2, Vol. I, pp. 150-151.

[33] Ibid., June 10, Vol. I, p. 210.

the audience sympathy which Smollett expected from such a forlorn figure made it impossible to satirize Clinker heavily. A few letters after the description of Humphry's appearance on the impromptu street-pulpit, he is shown mistaken for a highwayman and put in jail. There, perfectly in keeping with the characteristic methodism with which Smollett endows him, he preaches a sermon to the felons. He covers the whole range of evil-doers, including in his denunciation, "murderers, robbers, thieves, and whore-mongers,"[3*] serenely unaware that the way to win friends and influence people is not to tell them that they are the worst offenders against God. The incident does not succeed as satire, however. Rather, the reader respects Humphry for his courageous devotion to his religious beliefs. The simple, trusting, humble Humphry is more apparent in his preaching while in jail and in his reaction to Bramble's admonition to avoid hypocrisy or madness than is the religious fanatic. Smollett retains the religious characteristic of Humphry throughout the book, but it disappears as a major trait and seems to be merely an expression of his simple goodness than a dominant trait by itself. Simplicity, as more in keeping with gentle satire, becomes finally dominant in the nature of Humphry as Smollett presents him. The device is useful and good, allowing Humphry, out of sheer kindness, at one time to be mistaken by a delirious woman for her long-lost husband, and at another time unceremoniously to dump Winifred, whom he is courting

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[3*] Ibid., June 11, Vol. I, p. 229.

in his own blundering way, back into the water from which he has just pulled her in order to rescue Matthew Bramble from drowning. Like any other caricaturist, Smollett found himself bound to the characteristic which became dominant in a figure, even though he might have originally intended some other trait to be more important. It is to Smollett's credit as a novelist that he realized the difficulties of the situation and reconciled them as best he could. Humphry, like Adams but in a lesser degree, becomes a relatively "round" figure through long association, but he remains simple and humble to the end.

Besides the sympathetic minor figure who finally appears to be complex because his outstanding trait is seen operating in a great variety of situations, a second type of expanded minor figure, the adjunctive, arises. Characters like Partridge in Tom Jones and Trim in Tristram Shandy exist for the sake of the other characters with whom they are usually seen. Partridge is in Tom Jones so that Tom will have a companion. Trim is in Tristram Shandy so that the other half of Uncle Toby can be drawn. Trim appears as Toby's other, more rational, less cultured self, more understanding in the ways of the world, and somehow, more coarse. He is the other side of the child-man who is a warrior, the side which is brutal and unimaginative without once intending malice toward anyone.

In telling Yorick about a battle with the French, Captain Toby says,

> There is no way but to march coolly up to them, — receive their fire, and fall in upon them pell-mell — Ding dong, added Trim, — Horse and foot, said my uncle Toby. — Helter Skelter, said Trim. — Right and left, cried my uncle Toby. — Blood and 'ounds, shouted the corporal; — the battle raged. Yorick drew his chair a little to one side for safety and . . . my uncle Toby . . .resumed his discourse.[35]

Such is the existence of Corporal Trim. He has some life of his own, enough to emphasize the brutality of a nature which supplemented Toby's every item with "blood and 'ounds," and all of the noisy joy of battle. When Trim soliloquizes on the death of the elder son of the Shandy family, he is typically brutal:

> "Are we not here now;" continued the corporal, "and are we not" — (dropping his hat plush upon the ground — and pausing before he pronounced the word) — "gone! in a moment!" The descent of the hat was as if a heavy lump of clay had been kneaded into the crown of it. — Nothing could have expressed the sentiment of mortality, of which it was the type and forerunner, like it, — his hand seemed to vanish from under it, — it fell dead, — and the corporal's eye fixed upon it, as upon a corpse, — and Susannah burst into a flood of tears.[36]

And well she might. The platitude is unpleasant enough in the actual presence of death, but to have it illustrated so graphically, and at the same time with such complete innocence, is a little too much. Sterne intended that it should be too much, of course, and he intended that it should illustrate the nature of Trim. Similarly, the reaction of Susannah to the same event, a delightful vision of her mistress's green dress which she will certainly inherit when it

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[35] Sterne, Tristram Shandy, Bk. V, chap. xxi, pp. 231-232.

[36] Ibid., chap. vii, p. 220.

is replaced by mourning, is intended to illustrate the nature of Susannah's type.

Trim also has an independent existence to the extent that he is physically responsible for actions like the removal of the sash weights which occasion so much unhappiness for Walter Shandy and so much temporary pain for Tristram; he is also the typical unthinking man who can recite the Ten Commandments only in the proper order, as he would recite his general orders. Trim's is the love affair which comes to fruition, and his is the hand which actually constructs the toy implements of war, but in all of his actions he is more important to Toby than to himself. The removed sash weights were taken to satisfy Toby's desire for cannon; Trim's love affair provides a contrast with the one being carried on at the same time by Toby, and it also gives Toby his first understanding of the Widow Wadman's designs; and it was Toby or Toby's type, who taught Trim the general orders and the Commandments.

The minor character who is a companion is seldom so inextricably linked to his leader as is Trim to Captain Toby. Partridge in Tom Jones and Strap in Roderick Random are included in the story in order that the hero will have a messenger, a confidant, or a rescuer. Strap actually takes the place of guardian angel to Roderick on many occasions, although in the closing chapters of the novel he is utterly dependent upon Roderick for his happiness. Because they are not complementary figures so much as supplementary ones, the minor characters

who are intended principally as companions are usually type-figures who are the occasion of much humorous satire. The humorous satire serves a double purpose with Partridge and Strap: it makes the figure interesting at the same time that he serves as a device for furthering the story, and it identifies the character more fully for the reader so that the hero is not seen constantly traveling with a stick-figure. Partridge is known by the opportunism which makes him accompany Tom in the first place, but the satire which Fielding directs toward Partridge's self-seeking is no more than enough to bring the man to life with a recognizable trait. Strap is timid in any battle except one with his fists or one in which he engages to help Roderick, but the timidity is not satirized; rather, Strap simply becomes human by his timidity, and, because he is human, his unbelievable loyalty to Roderick becomes more acceptable.

Warfel says that in order to create a character who is memorable, the author must either draw a universal type or utilize a wealth of verisimilitude.[37] In producing the expanded minor figures whom he uses to further his story or to supplement one of the more major figures of his novel, the caricaturist uses much verisimilitude, which is characteristic of his general method, in creating as much of the illusion of reality as he can. Perhaps more important to the semblance of reality, however, is the caricaturist's technique of

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[37] Harry R. Warfel, American Local Color Stories (New York: American Book Company, 1941), p. x.

giving his expanded minor characters traits which are definite, typical, and, if possible, universal. If the trait is general enough, and universal, a caricature can live in an absolute fantasy, simply because the reader recognizes the humanity of the trait.

In general, then, the minor figure, both expanded and incidental, is the most important part of the caricaturist's criticism of society. The major figure molds the comments of the author into an interesting and cohesive novel, but it is through the minor figures that the author makes those comments. If it cannot be said that the novel of caricature exists solely for the purpose of the minor characters in it, it can be stated categorically that the major function of the minor character is not merely to further the story or to make the adventures of the hero more interesting. The major function of the minor character is social criticism, which is the dominant purpose of the novel of caricature.

CHAPTER V

THE MAJOR FIGURE

In order to criticize society fully, the caricaturist turns to many minor figures, but a host of minor characters would not make a novel. Major figures are required, and it is in the presentation of convincing, likeable major figures that the novel of caricature is weakest. It is said that the minor figures of many caricaturists are their best,[1] for the simple reason that a minor character who depends upon a single trait which need be shown only once, or at most a few times, is more vivid than a major figure of the same dimensions. Bullett points out that a major character presented as a simple caricature cannot long persuade the imagination;[2] but it is also true that a complex major figure in a novel of caricature would be obscured by his surroundings because he would have no single outstanding trait which would allow him to be easily identifiable at all times.

Since this study is of the technique of the novel of caricature and makes no attempt to analyze the effect achieved in using that technique to criticize society, the discussion of major characters will be confined to their relation to the satire in the novel of caricature. Undoubtedly, many major figures represent the author's conception of the ideal member of society, but to analyze them as such would be to go beyond the scope of this work. Reference to

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[1] Follett, op. cit., p. 35.

[2] Bullett, op. cit., p. 193.

the major character will be from the one standpoint of his utility in making possible the use of caricature in the rest of the novel.

Elwood says that the simple figure is admirably suited to use in a story which intends to criticize society,[3] but the novel of caricature is essentially a long series of such stories and requires exceptional skill in construction. Obviously, the author can simply center his novel about a heavily satirized figure, but to do so is to risk making the novel unreadable through too great an emphasis on the unpleasant aspects of society. In general, authors seem to prefer major characters with whom the audience can be sympathetic and whom most readers can be expected to find admirable.

Even though neither the adventurous nor the amorous hero is in the best possible position to assist in making criticisms of society, both are used to good advantage in providing an excuse for the author to bring many minor characters into his novel. The peregrinations of a gallant young hero in pursuit of fortune or love are also normally expected to arouse interest in any reader. As Thackeray, himself a caricaturist of note, writes,

> I suppose as long as novels last and authors aim at interesting the public, there must always be in a story a virtuous and gallant hero, a wicked monster his opposite, and a pretty girl who finds a champion; bravery and virtue conquer beauty; and vice. . . is sure to be discomfited in the last volume.[4]

However, if the adventurous hero contributes nothing to the author's critical purpose, he is at best a means of avoiding the responsibility

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[3] Elwood, op. cit., p. 210.

[4] Thackeray, op. cit., p. 170.

of presenting an avowedly instructive novel in an interesting manner. It is possible for an author to integrate his presentation of the hero's adventures into the scheme of satire by making the people who block the hero's path caricatures whose traits contribute to the temporary thwarting of the hero's plans.

The love story in Tom Jones is so well handled that one critic has written that it gives the figure of Tom its greatest realism, especially in the various amatory adventures which threaten to upset the course of true love.[5] Of more importance to the novel of caricature, however, is the fact that the jealous father, Squire Western, without whom the amour between Tom and Sophia would not have been so complicated, is an almost perfect caricature. Any love story would have allowed Tom to travel long distances in search of his lady, enabling him to encounter many minor figures, but by making Western an outstanding caricature, Fielding insures uniformity between incidental figures met along the way and the principal stumbling block in Tom's way. Fielding also wisely chooses to keep his satire of Squire Western kindly, so that the reader is never under any obligation to dislike actively the father of the heroine.

An example of the way in which Fielding treats the figure of Western will illustrate the way in which the careful novelist uses a definite caricature to perform a purely functional service in

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[5] Thomas H. Uzzell, The Technique of the Novel (Chicago and Philadelphia: J. B. Lippincott, 1947), p. 111.

carrying the story forward. When Fielding feels that it is necessary to give the reader some reason for the squire's not following Sophia directly to London to return her to his home, he draws on Western's single major characteristic, which has already been illustrated several times. In following his daughter, the squire laments his bad luck, but he explains to the sympathetic parson who rides with him that it is not his daughter whom he mourns, but the loss of such a fine day for hunting. Almost immediately, a pack of hounds begins to cry a short distance away. It is too much for the squire, who claps spurs to his horse and is away. Fielding explains the squire's action by comparing it to the fable of Grimalkin, turned from a cat into a beautiful woman, who retained her propensity to chase mice in spite of the transformation.

> What are we to understand by this? Not that the bride was displeased with the embraces of her amorous bride-groom; for though some have remarked that cats are subject to ingratitude, yet women and cats too will be pleased and purr on certain occasions. The truth is, as the sagacious Sir Roger L'Estrange observed, in his deep reflections, that "if we shut Nature out at the door, she will come in at the window; and that puss, though a madam, will be a monser still." In the same manner we are not to arraign the squire for any want of love for his daughter, for in reality he had a great deal; we are only to consider that he was a squire, and a sportsman, and then we may apply the fable to him, and the judicious reflections likewise.[6]

All of which is to say nothing more than that Squire Western is intended as a caricature and must follow his own trait wherever it leads him. Squire Western, however, is a minor character, and such

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[6] Fielding, Tom Jones, II, Bk. XII, chap. ii, pp. 105-106.

treatment is suited to him. With Tom and Sophia, the lovers, all hint of caricature is erased in an attempt to make them ideal, if not completely idealized, lovers. When Tom engages in an altercation with an officer, he is eventually victorious; when Sophia is in company with the London ladies, her virtue and purity immediately make her the object of every man's attentions. It is essential to the recounting of a good story that heroes be gallant and ladies beautiful; even in a novel of caricature they are not exempt from the rule of idealization. In the hands of a good artist, the love story gives a logical reason for the adventures in which minor characters are satirized. In the hands of a great artist, like Fielding, even the minor characters who are necessary to the furtherance or to the hindrance of the love affair will be an integral part of the satire of the novel of caricature.

Although almost all adventure heroes have a love affair somewhere in the background, Bissell points out that one type of hero is interesting principally because his welfare becomes a matter of concern to the reader.[7] The adventure hero, who need not be satirized or kept particularly vivid as long as he is kept active, can easily be provided with the multitude of minor-character acquaintances needed to give an adequate picture of society. By making the friends of Roderick Random such caricatures as Strap, the strictly nautical Lieutenant Bowling, and Morgan, who is Welsh to the point of eating

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[7] Bissell, op. cit., pp. 8-9.

onions, Smollett maintains the tone of caricature without the necessity of severely criticizing his hero.

The principal disadvantage inherent in the use of an adventurous or amorous hero is the possibility of making him less distinct than his acquaintances through an attempt to achieve consistently realistic presentation of character. In his attempt to avoid idealising Roderick, as he avoids idealization of all other figures except Narcissa, Smollett gives his hero both good and bad qualities and carefully refrains from overemphasising any. In a novel of caricature any figure without an outstanding trait will probably be a weak portrait, and Roderick is no exception. Fielding's Tom Jones avoids fading into the background which surrounds him by having dominant traits of good-hearted honesty and of lustful youth; he is vivid enough to compete with the minor figures in the novel without being a part of the criticism which Fielding brings to bear through the people whom Tom meets.

Besides the adventure or love story, the caricaturist may use a structure in which the people encountered in the course of the novel are of more importance than the slight story which brings them together. One such structure in the novel of caricature involves a tour in which a learner experiences the same learning situation as that presented to the reader in the various encounters with minor characters in the novel. Ideally, the learner will have none of the vices of the figures who surround him, so that the foibles of society

appear more ridiculous by comparison with the actions of the untainted figure.

Depicting the ideal figure in such a way that an audience will like him and believe in him is an extremely difficult process. A man from Mars, a Rip Van Winkle figure, or a child are the most obvious possibilities, but the first two are unrealistic and thus out of the stream of caricature, and the last is in danger of leading to a child's world which has little resemblance to the real adult world. Other methods are sometimes attempted, but they are generally not satisfactory. In order to remain realistic and at the same time to be in a position to emphasize his satire more effectively by contract with a figure who has few foibles, the caricaturist turns to a neutral figure or to an idealized real figure.

Hugh Brackenridge, the eighteenth century American caricaturist, whose Modern Chivalry is an excellent study of the actual conditions of the United States of his day, attempted to use an idealized major figure, but the result is not always completely successful. Brackenridge chose for his major figure Captain Farrago, a well-educated, well-adjusted, mature citizen of Pennsylvania. Farrago bears a distinct resemblance to Smollett's Matthew Bramble in Humphry Clinker, probably because of similarities between the two authors, who seem to have written much of themselves into the two characters. Farrago, like Bramble, takes a journey through his country and in the course of the journey meets a cross-section of the society of his day. Farrago

is a semi-heroic figure, the man of complete good judgment. Through him Brackenridge comments directly on all of the evils encountered in most of the novel. Typical of the Captain's observations are the words of advice and wisdom which he offers his servant, Teague O Regan. In one instance, Teague has won an argument through physically subduing his opponent. He says that with a shillelah he could have convinced any man in the world of the truth of his arguments.

> Teague, said the Captain, this may be true; but it was unbecoming a philosopher to attempt to establish this by blows. Force proves nothing but the quantum of that force. Reason is the only argument that belongs to man.[6]

There is no doubt about the validity in the abstract of the Captain's argument and if Brackenridge were to avoid the risk of having the reader possibly misunderstand the actual direction of his satirical treatment of Teague's highly successful method of arguing, it was probably necessary that the Captain's reasoning be included. The effect, however, does not have the force of the innocence or simple logic of a child used in the same position. Modern Chivalry, in spite of its striking humor, begins to drag because of the too-heavy nature of Farrago's comments and because of the necessary lack of a sense of humor in a man of really good sense who desires to give the benefit of his wisdom and knowledge to the people whom he meets. In the last books of Modern Chivalry, Brackenridge changes his attitude

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[6] Hugh H. Brackenridge, Modern Chivalry (New York: American Book Company, 1937), Vol. II, Bk. I, chap. iii, p. 88.

toward the Captain and satirizes him to a certain extent. Farrago becomes a humorous, rather than a wise figure, and the last books read much more rapidly. Such a treatment as that given Farrago in the latter books of the novel, however, could not sustain a story without much assistance. Brackenridge wisely used a major satirical figure only when he felt it no longer possible to use that figure as a serious commentator. If either method of characterizing is continued too long, it becomes too heavy for the reader to absorb easily.

The major figure of fun, the major figure who is satirized as often as are the minor figures whom he encounters, is not properly in the stream of caricature, because he customarily depends for affect upon removal from reality rather than participation in it, as does Don Quixote.[9] Don Quixote becomes something of a burlesque before the end of his story, and Cervantes is forced to make the satire directed toward his hero much more gentle than it is in the first episodes. Cervantes makes Don Quixote a figure of pure, non-satirical, burlesque fun in order to keep him interesting in the central portions of the book. He becomes a comic rather than a caricature when he no longer is used directly to comment upon society. In the closing chapters of Don Quixote, Cervantes found it possible to return to his original satire, and the book and its hero become once more in the stream of caricature.

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[9] Thornbury, op. cit., p. 104.

In Humphry Clinker, Smollett uses a more satisfactory arrangement than Brackenridge. Like Brackenridge in not formulating an exciting plot around which to center his novel, Smollett seems to have admitted tacitly from the first that the caricatures in it were more important than the plot. Consequently, he took care to avoid a major figure who would interest solely through his adventurous appeal. The modus operandi of the novel is merely a journey which anyone might have taken through England and Scotland. In order to provide himself with a figure through whom he could make his observations during the course of the journey, Smollett, like Brackenridge, invented a mature, intelligent man as the chief figure of the caravan in the novel. Unlike Brackenridge, however, Smollett deliberately made his major figure relatively neutral rather than semi-heroic. Mr. Bramble's judgment is not always infallible, nor is he free from some quirks of personality himself. In order to keep from giving the reader the impression that the humorous details of Bramble's personality indicate satire of the character, Smollett is careful to have the nephew, Jery Melford, who has no particular characteristics of his own, report the more kindly, more likeable, and less humorous side of his uncle's nature.

Smollett's device is excellent for the purposes of the caricaturist. Bramble, in his journey, carries the story forward; Jery reports objectively the progress of the party. Jery Melford has Smollett's own insight into the characters in the main party, but

since he is actually a character in the book, he may give his candid reactions without appearing unrealistically omniscient. If Smollett were to report that Bramble is somewhat irascible on the surface but kindly underneath, he would be required to illustrate both traits or run the risk of failure as an artist. To have Jery report the same things as a character in the book, is nearly as effective as demonstration. Jery appears only as a character in the book, not as the author's representative, when he gives his own opinion of one of the other figures:

> Those follies, that move my uncle's spleen, excite my laughter. He is as tender as a man without a skin; who cannot bear the slightest touch without flinching. What tickles another would give him torment; and yet he has what we may call lucid intervals, when he is remarkably facetious -- Indeed, I never knew a hypochondriac so apt to be infected with good-humour. He is the most risible misanthrope I ever met with.[10]

Bramble's chief characteristic, which is impatience with unseemly actions in others, allows him to appear as a colorful figure who can compete with the minor figures in the novel; Melford's comments, which reveal the kindly side of Bramble's nature, keep the portrait from palling by its sameness and insure that the reader will not misunderstand Smollett's device of a striking major figure who is not to be considered a satirical portrait. Melford simply takes the place of the author's own third-person comments in another type of novel.

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[10] Smollett, Humphry Clinker, Works, VI, Jery Melford to Watkin Phillips, April 30, Vol. I, p. 73.

Laurence Sterne employs a method of novel writing and of linking his satires which is not likely to be imitated by any considerable number of authors. His method is probably a part of the same general method of modus operandi through a neutral figure used by Smollett. In Sterne, however, the neutrality of the character is insured by keeping him completely hidden. Sterne is so confident in his ability to entertain that he does not bother to provide himself with a major figure. Tristram appears in Tristram Shandy as the narrator, but virtually nothing is known about Tristram himself, or rather of Sterne, since Sterne makes no pretence that any opinion expressed in the book in not his own. Yorick occupies the same position in A Sentimental Journey, little more than a stand-in name for Sterne himself. One author has said that if it were not for the wit and humor of Sterne in his books, they would be unreadable,[11] and another has remarked that the atmosphere, which is really nothing more than Sterne's personality, contributes all of the reality that the characters have.[12]

Sterne's method of introducing minor figures is largely the use of one digression after another. Since he relies on his own personality to carry the book, Sterne simply brings in minor figures when he feels that they are necessary.

However, Sterne found it expedient in A Sentimental Journey to use a slight device of travel to present more characters. In

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[11] Byers, "To The Hobby Horse," op. cit., 276.

[12] Ibid., 271-273.

Tristram Shandy a few major shifts are noticeable for the same reason, as Cross has noted:

> Sterne knew instinctively that he could not continue. . .on the oddities of Mr. Shandy and escape the danger of writing himself out. . . . He therefore passed to the kitchen of Shandy Hall and over to my uncle Toby's bowling green for a set of characters not yet so far exhausted.[13]

In no sense, however, does the moving about in which Sterne occasionally indulges constitute the real vehicle by which the story is carried. It is a matter of no interest whatever whether Yorick goes to Lyons or to Paris, nor are the people whom he meets typical only of those places. If they are typical at all, they are typical anywhere. The Parisian barber who "absolutely refused to have anything to do with my wig: 'twas either above or below his art: I had nothing to do but to take one ready made,"[14] could be an opinionated barber anywhere. Sterne's comment about the vivid expression of the French barber, who said that his wig would emerge perfect from an immersion into the ocean, however, is typical of France: "The French expression professes more than it performs."[15] More important than the typification of the French mode of expression is the intrusion of Sterne's personality into the story again. The opinion of the French is delivered as a digression; it is a comment from the author directly to the reader.

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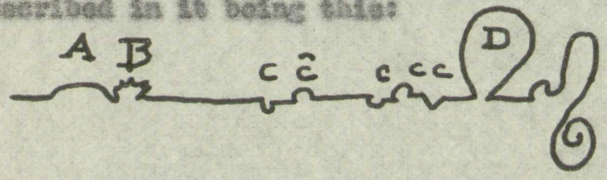
[13] Cross, op. cit., p. 279.

[14] Lawrence Sterne, A Sentimental Journey Through France and Italy, The Works of Lawrence Sterne (London: Henry G. Bohn, 1865), "The Wig," p. 428.

[15] Ibid.

At every possible opportunity, Sterne intrudes his own personality into the story. He begins the story of Uncle Toby's love affair with the Widow Wadman, and he interrupts it to go journeying to France; he begins Toby's romance again, and interrupts it to tell part of the story of the King of Bohemia, which is yet to be finished; Sterne even interrupts himself to diagram his singular method of writing, a method which allows him the greatest freedom possible:

> In the fifth volume I have been very good, — the precise line I have described in it being this:
>
> 
>
>
> By which it appears, that except at the curve, marked A, where I took a trip to Navarre, — and the indented curve B., which is the short airing when I was there with the Lady Bussiere and her page, — I have not taken the least frisk of a digression, till John de la Casse's devils led me the round you see marked D. — for as for c c c c c c they are nothing but parentheses, and the common ins and outs incident to the lives of the greatest. . .[16]

Sterne has understated the case; if anything, his digressions are more frequent and more tangential than he has indicated. But it is on those very digressions that Sterne relies to capture interest and provide a framework for his novel. The digressions allow him to comment fully on the foibles of life, and the shocked surprise which their bizarre nature occasions — one whole chapter of asterisks and another of a blank page, for example — keeps attention drawn to the novel. The question is "What will Sterne do next?" No other

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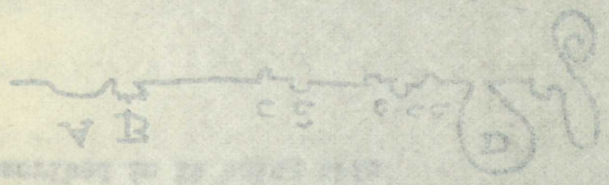
[16] Sterne, Tristram Shandy, Bk. VI, chap. xl, p. 267.



suspense is needed. Technically, the story of Tristram Shandy revolves around the inimitable doings of the Shandy household and the life of Tristram himself. Too little is said about Tristram, who is born nearly halfway through the novel, for him to be of real interest as the hero of a pseudo-biography. Except for the birth of Tristram, the death of his older brother who never makes an appearance in the novel and is only heard about by report when he dies, and the romance between Uncle Toby and the Widow Wadman, nothing actually happens in the novel. In A Sentimental Journey, little real progress is ever made in the usual sense of an orderly journey, and the reader is not told the reasons for the journey in the first place. Sterne uses the shadows of conventional types of writing to give his books some recognizable general pattern, but it is the personality of Sterne, rather than the story, which is interesting and which encourages further reading. Sterne's method accomplishes more than mere entertainment: it gives him all the excuse he needs to digress and create any character he wants to satirize without linking that character to the story in any way.

Sterne's method is admirably suited to the novel of caricature, but it requires superlative wit. It accomplishes almost the same ends as any other method, allowing the author to make caricatures of every one of the figures who appear in the book, since the central figure of the medium sanctitatis is never brought into the book where he might be subject to satirical criticism. The major disadvantage of the

method is that it requires an audience sophisticated not only to satire but to verbal wit. Sterne's method is not ideally tailored for near-universal appeal, as are the methods of Fielding and Smollett.

No one treatment of the major figure appears to be specific to the novel of caricature. Because the adventure novel provides opportunity for the introduction of many minor characters, it is easily adapted to the social criticism of the novel of caricature. Probably of more importance, however, because it is more closely allied with the author's critical purpose, is the structure which makes no real pretence of telling an exciting story and which relies upon the interest generated in the incidental characters to draw attention to itself. The plotless novel of Sterne and the journey used by Smollett in Humphry Clinker both give their authors limitless opportunity to comment upon society without burdening them with the necessity of getting a hero into and out of difficulties. In the type of novel written by Sterne the author assumes a grave responsibility of keeping his audience entertained with the force of his own personality. In a novel like Humphry Clinker the author must solve the problem of keeping his central figure vivid and at the same time exempt from real criticism. The author who uses the adventurous hero faces only the responsibility of integrating his satire into the story which he makes interesting for its own sake, but such integration itself requires scrupulous attention to the purposes of caricature.

Regardless of the method which he chooses, the author who would write a novel of caricature faces one of his most difficult problems when he attempts to provide a vehicle for his satire. It is questionable whether the artist who hides his satirical purpose behind a facade of story-telling is greater than the author who clearly makes satire his outstanding attraction. There is no doubt, however, that both methods can be used to make readable novels.

CHAPTER VI

THE LIMITATIONS OF THE NOVEL OF CARICATURE

The purpose of the novel of caricature, a criticism of existing society, requires faithful treatment of the actual cultural scene which the author wishes to criticize. Therefore, the novel of caricature is a realistic type of novel. In order to be true to the charge of social criticism, which he has given himself, the caricaturist feels that he must assure his readers that his subject matter is truth through realistic details and realistic observation of the social scene.

The specific manner in which the caricaturist criticizes his society implies that the individual is in large measure responsible for his own follies; the individual may form his vices on a pattern which is typical in the society in which he dwells, but the actual possession of those vices is the individual's own responsibility. It follows logically that if the individual is responsible for his own excesses, he is capable of correcting them through conscious application to the task of changing himself. The individual's excesses are not to be corrected through correction of the society in which the individual finds himself; the individual is to correct the evils of his society by first changing himself.

If the novel of caricature is to function as social criticism instead of mere personal scurrility directed toward a few remiss individuals, it is necessary that the satire in it be comprehensive. It must cover a large group of types, or all of the types within a

certain geographic or cultural area, or a cross-section of the types which the author believes representative of mankind. In order to insure full coverage within the limits which he has set for himself, the caricaturist depends upon the cumulative effect of satirizing a whole host of differing individuals.

The caricaturist, however, is circumscribed in the scope which he can allow himself in his novels. The severest limitation which he encounters, a limitation which is basic to many others, is in the extent to which he may go in description of the individuals whom he satirizes. The very nature of the caricaturist's theory that men are best known through single outstanding traits imposes a severe restraint on the extent to which the author can legitimately describe any figure. If the author is to remain true to his original concept, it is necessary in describing a character that he completely disregard, or at the very least consciously subordinate, all traits except the outstanding one which he considers to be important. Otherwise, he runs the grave risk of not making that identifying trait clear to his audience. Descriptions of his characters must be done with a careful pencil which does not linger too long over aspects of personality which are not specifically important to the immediate conception which the author wishes to give to his readers.

The emphasis of this study might indicate that caricature differs from other novels only in its treatment of incidental figures. However, when the novel of caricature in the eighteenth

century in England gave way to the more nearly psychologically realistic type of novel written by Goldsmith and Austen as the dominant non-sentimental novel form, it was the major figure in whom the difference was first noticeable, not in the minor.

It is clear in the novels of Goldsmith and Austen that the minor figure who exhibits a singular foible is of real importance to the author. It is equally clear, however, that the fortunes of the major character, as he moves about in his world and is influenced by it, as he changes himself to conform better with the world, are the real emphasis of the novel. In the novel of caricature the emphasis is not entirely on the major figure, and it is certainly not upon the effect of society upon him. The incidental minor figures whom the psychological realist uses may often be actual figures of caricature, but the device does not label the novel when it is only incidental to the main purpose for which the author wrote his novel. Too much caricature in a psychologically realistic novel would spoil the effect of roundness sought by the author, because it would make the caricatured minor figures appear to be drawn with too little care. But the study of an environment upon an individual, or of an individual's personality in its constant change, cannot realistically be made through the caricature.

Like any other realist, the caricaturist is engaged in reasoning inductively from observable facts, or as Hamilton expresses it,

in looking at the facade of life and interpreting what goes on behind it.[1] It is said that all art cares for facts only as they reveal truths,[2] and in this concept the caricaturist and other realists are alike. In a sense, however, the realist who chooses caricature as his method is different in his approach to facts from any other realist. The psychological realist, for example, is interested in the facts of personality, environment, heredity, and social atmosphere as they form the basis for aberrant or typical reactions among people. The caricaturist is not so much interested in such causally oriented facts.[3] To examine causal factors would amount to complete analysis of each individual, and complete analysis of a figure is inimical to the artistic method of the caricaturist. Because the minute, microscopic details, which are the proper area of the psychological realist, are in a constant state of flux, the caricaturist is further limited in his examination of them. The caricaturist avoids being forced into depiction of growth or deterioration in his characters by confining himself strictly to the broadly consistent facts which are not subject to change. Not to demonstrate the typical and the unchanging in the personalities of his characters would be to fail in his major purpose.[4] Further, the examination of minutiae is the

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[1] Hamilton, op. cit., p. 28.

[2] Perry, op. cit., p. 251.

[3] Muller, op. cit., p. 405.

[4] Elwood, op. cit., p. 214.

process of examination of the individual, and the caricaturist, in order to avoid mere personal scurrility, is concerned with examination of the typical.

An interesting paradox arises in the basic philosophies of caricature and of psychological realism. Within the framework of realism, the two types of novelists are different in their basic conceptions of the important considerations in the nature of man. The caricaturist is concerned with the typical, and the "realist" with the individual. They are also opposites in the emphasis which they give to the individual as compared with his society. Instead, however, of the real glorification of the individual in his society arising in the novel of psychological realism, the individual is paramount to his society principally in the novel of caricature and the romance. In both of the latter forms, the one realistic and the other non-realistic, the individual is strictly responsible for his own actions. In the psychologically realistic novel the individual is a product of his environment, his heredity, or a combination of the two, and is therefore not strictly accountable for all of his own actions.[5] The emphasis upon the individual in the novel of caricature is in his effect upon his own society; in the psychologically realistic novel the individual and society interact, with society having a greater effect upon the individual than the individual upon society.

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[5] Although the observation above is usually made with the term "naturalism" in mind, the almost anti-naturalistic novels of George Eliot might be cited as evidence to indicate that it applies equally well to psychological realism.

Because of his view of the relationship of the individual to his society, the caricaturist is severely restricted in the analysis he may make of that society. Even though the basic aim of caricature is social criticism, it is not possible for the author to use the method to analyse thoroughly the action of society. No analysis is made of society as a causal agent, because no individual is allowed to change. Only through showing the effect of society upon its members can real analysis of its action be shown; the caricaturist, making no attempt to show society in action, also makes no real attempt to say whether the very society he describes is good, bad, beneficial, or harmful on the whole, as compared with other existing societies. To do so would require that he describe all of the good points of society in the same manner in which he describes its bad points and then, through some weighting process or other, decide whether or not one overbalanced the other. The caricaturist may assume from the first that society is good or bad or indifferent, but he cannot demonstrate more than the negative side of his argument in any case.

In its consideration of the individual the novel of caricature cares for only the significant single fact, but in its consideration of society it cares only for the minute details of the organism. In both it is the exact opposite of psychological realism.

The great inadequacy of caricature in analysing the society which it describes does not make it a deficient novel form.

Psychological realism is correspondingly limited in its ability to describe the society which it analyses. In justice, caricature must be viewed as a distinct form which has its own uses and is in its own way capable of great excellence.

Even though it cannot be used for the analysis of the inner man in total complexity, the novel of caricature certainly cannot be said to indicate a necessary ignorance of the inner nature of mankind. The distinction between caricature and psychological realism is great, but it is in no way based upon a fundamental inability of the caricaturist to understand the subtle psychological workings of mankind. The great difference arises because of different aims and different attitudes. Sterne, for example, concerned himself almost wholly with the hidden workings of the minds of his caricatures, but his concern was with the motive as a fundamental trait, not as a fact to be probed and analysed. Cross writes,

> If Sterne's psychology was crude, so was all the psychology of the age. Complex human nature cannot be summed up in Pope's neat doctrine of ruling passions, which was accepted by Sterne. . . . But under Sterne's hands the method resulted in most striking portraits.[6]

Perhaps Sterne could not sum up human nature in the doctrine of ruling passions, but he certainly was not blind to their effect on the individual. Perhaps the most famous example of the study of the inner mind by a caricaturist is Sterne's expose in Tristram Shandy of

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[6] Cross, op. cit., 248.

Susannah's thoughts when she heard of the death of Master Bobby:

> —My young master in London is dead! said Obadiah.—
> —A green satin night-gown of my mother's, which had been twice scoured, was the first idea which Obadiah's exclamation brought into Susannah's head. —Well might Locke write a chapter upon the imperfections of words. —Then, quoth Susannah, we must all go into mourning.— but note a second time: the word mourning, notwithstanding Susannah made use of it herself— failed also of doing its office; it excited not one single idea, tinged either with gray or black, — all was green.— The green satin night-gown hung there still.[7]

One writer is of the opinion that, as compared with Fielding, Smollett, and Sterne, Richardson — the forerunner of psychological realism — "had a disastrous effect on the novel as a revelation and criticism of life."[8] Certainly, nothing in Richardson indicates such clear insight into people as the passage above from Sterne. That which Richardson did, which differentiates psychological realism from caricature and which the caricaturist cannot do, was to depict the changes in an individual brought about by environment and social contacts.

Even though the method of caricature does not restrict it from consideration of the inner mind of the individual, it does prevent any analysis of the changes wrought in an individual by his society. It is not the caricaturist's job to analyse the workings of society; it is his job to describe society as fully as he is able. In description of the individual, caricature is often deliberately deficient, but in description of society caricature is at its best. If there

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[7] Sterne, Tristram Shandy, Bk. V, chap. vii, pp. 218-219.

[8] Pollett, op. cit., p. 86.

is a great weakness to the method of caricature in the novel, it is that social interaction and adjustment are not easily handled with the medium of caricature. As long as the caricaturist remains true to his original premise that the vices of men are universal, unchanging truths in themselves, he cannot depict an individual changing as a result of his environment. To do so would be to obscure the real purpose of the caricaturist.

CHAPTER VII

SUMMARY AND CONCLUSION

The outstanding characteristics of the novel of caricature, as well as its limitations, are the result of its status as a distinct art form with its own aesthetic principles. The main interest of the caricaturist is in the type as it operates in society and in the dominant trait of that type. Society he looks at, for the moment, as relatively static, because the universal types which he hopes to portray are present in any society in one form or another. The major philosophic principle upon which the caricaturist operates is that the individual is responsible for his own actions, and any satire which corrects vice in an individual is the legitimate territory of the caricaturist. The caricaturist, although glorifying the individual's part in the conduct of his own life, seeks to alter surface characteristics which he views as aberrant. He implies that the individual members of society are potentially good and that through altering their surface motivations and behavior, they may achieve goodness in their own individual manners and according to their own individual capacities.

The caricaturist seeks to achieve his correction of the evils which individual men possess through satire, and the method of satire is to exaggerate individual and typical traits and characteristics in order that they may be laughed out of existence. If the caricaturist were not to select his details with care and exaggerate the outstanding trait to the virtual exclusion of all other traits, he

would risk having his readers misunderstand him. Thus, in caricature many minor characters, about whom nothing is known but their idiosyncracies, make their appearance. Through these minor characters the author is able to satirize a wide cross-section of society.

The situations which a caricaturist uses must logically be encountered through the travels or the disquisitions of the major figure in the novel, but they must help display the follies and foibles of minor characters. Only through a host of minor figures can the caricaturist satirize a large part of society, since to make any small group of people responsible for any large number of vices would be to create a gathering of grotesques, not of real people.

Some minor characters are expanded to take up much space in the novel of caricature. These minor characters are invested with vices which incite mirth rather than severe censure, and they are likeable. They contrast with heavily satirized incidental minor characters and add to the continuity of the novel by appearing in perfect consistency in most episodes, so that the reader continually meets reactions with which he is familiar. Often an expanded minor figure is a companion to the hero and has a function in the story proper of aiding and abetting the hero's purpose. In other instances he may appear as a complement to the trait of some other, more major figure. Whether the minor figure is incidental, sympathetic, or adjunctive, he must be perfectly consistent and have a single outstanding trait. Whatever his other functions, humor, assistance, or explanation,

the minor figure must contribute to the serious purposes of satirical social criticism, because it is through the minor figure that the criticism is made.

The basic corrective purpose of the novel of caricature forces upon it a strict adherence to observable fact. The author intends to correct existing situations, and he must carefully draw his material from the real world so that there will be no doubt of his intention. Thus, the novel of caricature is basically realistic; other novels in which the traits of characters are exaggerated with no reference to actuality are not properly caricature novels, however much the figures portrayed may resemble the pictorial caricature-cartoon in their grotesque appearance. The grotesque is outside of nature and outside of the province of the caricaturist. Even in the most minor figures, strict observation of the facts of nature is imperative to the art of the caricaturist.

The situations which a caricaturist uses must also be real. An individual out of his environment might be ludicrous, but that individual is typical in his own environment and is best satirized where he is typical. The circumstances which a caricaturist chooses might not be real in the sense that they actually did happen or might actually happen, but they must be real in the sense that they represent an atmosphere which the characters themselves could logically be expected to have created. The distortion of a scene which the caricaturist allows himself must be more in the nature of paring

away of superficialities in order to arrive at basic truth than of creation of impossible incidents.

In order to avoid presenting nothing more than a collection of unrelated episodes, the caricaturist must provide himself with some linking device which will carry the novel. He may step outside of the tradition of caricature for an adventure story in which the hero meets many different people whom the author may satirize; he may use a modus operandi, whose function it is to link the episodes together with little regard for plot or story and the central character of which will serve as a comparison with the satirized figures whom he encounters; or he may simply depend upon his own personality and humorous comments and antics to keep the interest of readers. The caricaturist can succeed in making his novels both readable and instructive, no matter which method he uses.

In spite of his attempt actually to portray society, the caricaturist is restricted from an analysis of that society's effect upon its members. As one great critic, whose "novel of adventure" includes many novels of caricature, has written,

> In the novel of adventure, and particularly in those of the picaresque type, there is little attempt at any portrayal of character development. . . . /characters in the novel of adventure/ are like trees upon the bank of a river by which one may judge the swiftness of the stream itself.[1]

In the novel of caricature one does not see society affecting the

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[1] Perry, op. cit., p. 107.

life of an individual, but one does get a thorough picture of the world made up of the people in the novel.

Although a caricaturist cannot study the changes in his characters, his real excellence is in his portraits. If the caricaturist has a single strong point, it is the portraits which one encounters in his novels. "The folk we meet in [the novelist's] pages must be themselves, yet like ourselves; their hearts must beat in echo to the common heart of mankind, yet somehow in a different, an individual and personal rhythm."[2] Every person has something of the typical in him, and each has his own exaggerated trait, just as does every caricature. The reader recognizes the caricature in every situation even better than he would most of his real acquaintances, because he knows the caricature's most important trait so well. Every one of the caricature's actions serves both to make him more easily recognizable and to provide the thrill of meeting an old friend again.

The caricature is like a bachelor's child, in a sense. The phrase is George Eliot's — who knew something of the art of caricature herself:

> A bachelor's children are always young; they're immortal children, —always lisping, waddling, helpless, and with a chance of turning out good.[3]

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[2] Follett, op. cit., p. 34.

[3] George Eliot, Felix Holt the Radical (New York: Harper and Brothers, n.d.), I, 313.

If the human race were suddenly to cease to be interested in itself, care no longer to love its own most harmless members, and lose the faculty of laughter, interest in the novel of caricature might possibly wither and die. Until then, there will always be a place for a caricature in the novel.

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