To the Graduate Council:

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MALRAUX AND GOYA: CHAOS AND CREATION

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ABSTRACT

The thesis is an examination of the role of art and the artist. It is largely based on André Malraux's philosophy of art as expressed in The Voices of Silence and Saturn: An Essay on Goya. It traces the artist's experience from his initial confrontation with chaos and the sense of alienation and anguish which follows through his ultimate conquest of his existential dilemma. This struggle is illustrated by a stylistic analysis of the lighting techniques and the mask motif exploited by both Malraux and Goya in their artistic creations. The thesis concludes that the artist is victorious in his struggle with the disorderly forces of the universe when he imposes his own order upon the world--when he humanizes that which is alien to him.

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INTRODUCTION--THE THREAT OF CHAOS

Even though most mythologies begin with a creation story--with the initial conquest of chaos--the fear of a return to this original state of disorder has remained with man. Twentieth century man's conception of the Absolute has become greatly diluted, and his dread of chaos equals, if not surpasses, that of primitive man. Threatened by total annihilation (accidental or intentional) due to a nuclear disaster, modern man, unlike Noah, cannot accept this imminent destruction as the deserved if dreadful punishment dealt out by a dissatisfied but just God. To those for whom an absolute no longer exists, all suffering becomes absurd and chaos reclaims its dominion. As on the walls of the caveman and as in the stories of various mythologies, the theme of chaos still finds its artistic expression.

As both a novelist and an art critic, André Malraux has extensively treated the theme of chaos. Before he was twenty-five, Malraux had been acquainted with revolution in Russia and China and had witnessed a world war, much of which was fought in his own country. In such an atmosphere of political unrest, his wariness of the forces of chaos seems justified.

In his study on Malraux, Cecil Jenkins describes the intellectual maelstrom which swept early twentieth century Europe:

> In fact, of course, many of the new influences combining to undermine rationalism, the integrity of the personality and existing values--Dostoevsky, Nietzsche, Freud, Bergson, Pirandello, Gide, Proust--were prewar forces only now coming into their own as the blind revolt of the new generation began. With the "enterprise of demolition" that was Dada, and then with the more organized Surrealism, the instability of the world was shortly elevated almost into a system. Reason gave way to the unconscious, reality to a new poetic suprareal, and all that represented the established order--patriotism, religion, and traditional moral attitudes--was denounced as a new "psychic revolution" got underway.[1]

The effects of this "psychic revolution", combined with those of the political revolutions just mentioned, find expression in the chaotic atmosphere of Malraux's novels.

Two of Malraux's political novels, Les Conquérants and La Condition humaine deal with the Chinese revolution of the 1920's. Described in Les Conquérants as "l'empire même du désordre,"[2] China is an appropriate setting for

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[1]Cecil Jenkins, André Malraux, (New York: Twayne Publishers, 1972), p. 28.

[2]In this study, all quotations from the novels and critical essays by André Malraux will be abbreviated as follows: Les Conquérants (LC) (Paris: Gallimard, 1947); Goya: Drawings from the Prado (GDP), trans. Stuart Gilbert (London: Horizon Press, 1947); La Condition humaine (LCH) (Paris: Gallimard, 1947); Les Noyers de l'Altenburg (LNA) (Paris: Gallimard, 1948); La voie royale (LVR) (Paris: Gallimard, 1930); The Voices of Silence (LVS) trans. Stuart Gilbert (Garden City, New York: Doubleday, 1953); Saturn: An Essay on Goya (S), trans. C. W. Chilton (London: Phaidon Press, 1957).

conveying a sense of chaos. Turning again to Jenkins, we find a succinct summary of the political background for these two novels:

> Since La Condition humaine deals with the decisive rupture within the Chinese revolutionary movement of 1927, . . . this common background should perhaps be indicated at once. It is not easy to do so briefly, given the almost chaotic situation of this old and isolationist society which had long since lost its coherence and was being modernized from without by competing expansionist powers, including Great Britain, France, the United States, the Soviet Union, and Japan. Outside the territorial "concessions" of these powers, the country was fragmented under the rule of greater or lesser generals or "warlords," some sustained and manipulated by one or other foreign interest, others operating independently as simple bandits. With alliances between these parties shifting continually, fighting went on intermittently across the country. And through this veritable Chinese puzzle of a situation Dr. Sun Yatsen's Chinese Nationalist party, or Kuomintang--which, under the leadership of General Chiang-Kai Shek, was to rule the country until driven into exile by the victorious Communists in 1949--was painfully emerging as the first nationally unifying force in modern China. (Jenkins, p. 51-52).

In addition to the political conflicts which were racking China, a more fundamental disturbance was brewing there in the 1920's. Malraux's last novel, Les Noyers de l'Altenburg, deals with the question of the existence of a fundamental value on which the idea of man might be based. This question is the central theme of the colloquium of Altenburg--an annual gathering of Europe's leading intellectuals organized by the hero's brother, Walter Berger. At the colloquium, the ethnologist Möllberg proposes that Western man is characterized by his

consciousness of history, of time. In La Tentation de l'occident, an exchange in ideologies between a Chinese and a European, Malraux has stressed the importance of the conception of flux, of timelessness, to the Oriental mind. From these two observations we can understand the psychological obstacle with which Garine must contend in his position as Chief of propaganda in Les Conquérants. Garine has succeeded in giving the populace an awareness of its own existence--an accomplishment of almost insurmountable odds given the traditional passivity of the Chinese. The extent of his effectiveness comes forth as his comrade observes: "La révolution française, la révolution russe ont étè fortes parce qu'elles ont donné à chacun sa terre: cette révolution-ci est en train de donner à chacun sa vie" (LC, pp. 15-16). Thus the political and philosophical clashes underway in China provide an environment representative of the turbulent mood of the early twentieth century.

In La Voie royale the jungle setting is another symbol of chaos, for in the jungle the laws of nature ruthlessly defy the laws of man. The two heroes of this novel, Claude Vannec and Perken, have undertaken an expedition in search of ancient art objects. They are threatened not only by the hostility of nature but also by the savage tribes, the "insoumis," with whom they can establish at best only a precarious peace. A passenger on

board the ship heading toward Indochina warns Claude of the dangers of his undertaking:

> Les indigènes, ça ne leur dira rien d'aller se promener par là; vous avez beaucoup de chances de tomber chez les Moïs insoumis, ce qui n'est pas drôle; et puis les indigènes des derniers villages sont impaludés jusqu'au gâtisme, les paupières bleues comme si on cognait dessus depuis huit jours, capables de rien. Ensuite, si vous vous faites piquer, ce qui ne manque jamais, vous pouvez dire que ce n'est pas par de bons moustiques: ah! les vaches! . . . Et puis . . . enfin, pour auhourd-hui on peut s'en tenir là . . . (LVR, pp. 37-38).

Still another element of the jungle--humidity--suggests the encrouchment of chaotic forces which man has always sensed. A report on the archaeological site which Claude hopes to reach describes the corrosive effect of this element:

> Les motifs d'ornamentation sont très ruinés par l'humidité constante du sous-bois et le fouettement des grandes pluies. . . . La voûte est totalement effrondrée. . . . Les blocs de grès dont les voûtes étaient formées remplissent l'intérieur des galeries d'un chaos inextricable; cet état de délabrement, particulièrement lamentable, paraît du à l'emploi du bois dans la construction . . . (LVR, p. 57-58).

Thus the unfamiliar and uncontrollable elements of the Indochinese jungle, like the political and philosophical elements of Les Conquérants combine to create an impression of chaos in La Voie royale.

Chaos finds a more familiar setting in L'Espoir, which grimly depicts the inhumanity of the Spanish Civil War and in Malraux's last novel, Les Noyers de l'Altenburg. The tranquil atmosphere of the colloquium held at Altenburg,

in which Europe's leading intellectuals participate, is ironically placed between scenes of wartime disasters. War, with all its implications of destruction, holocaust, and human suffering, is an obvious symbol for chaos. But even in the peaceful atmosphere of the colloquium, chaos looms. The philosophical labyrinth in which these erudite men are trapped gives an impression of a mental chaos in its own way as baffling as the phenomenon of war.

The theme of chaos also pervades Malraux's art criticism. Given his vast knowledge of art of all times and cultures, it is significant that Malraux has devoted the lengthy essay Saturn to one artist--Goya. Goya's personal struggle with certain chaotic forces--a struggle which finds expression in his art--has, for Malraux at least, earned Goya the distinction of the first modern painter. Almost one hundred years before the first surrealistic and expressionist works were to appear--works whose masters were influenced by the same elements we have mentioned in regard to Malraux--Goya had already sensed the absence of an absolute.

Goya lived most of his life in a century noted for its optimistic belief in progress through human reason. Indeed, for many philosophers of the eighteenth century, God was already "dead." Although Goya retained the Gothic concept that "man's sole purpose was to bear witness to that which surpassed him," Malraux contends that, "that

which surpassed him was no longer God" (S, p. 78). From the earliest appearance of the aspect of terror which characterizes so much of his later work (in particular the Black Paintings of the Quinta del Sordo), Malraux asserts that "Goya was not groping towards God, but towards a power older and beyond salvation; the everlasting Saturn" (S, p. 90). This statement, of course, was in reference to one of Goya's Black Paintings, Saturn Eating His Child.

The study Saturn and Melancholy[3] gives us some insight as to why this figure was a significant choice for Goya. Historically, Saturn has been a symbol of cruelty. His sickle is a symbol both of "the most horrible outrage" (Saturn had castrated his father) and of harvesting. Due to the influence of the Neo-platonists--who regarded that which was the closest to the heavens as the most pure--Saturn had subsequently become associated with genius. Nevertheless, this genius is continually frustrated by a sense of melancholy and consequently a certain stigma is attached even to the more positive interpretation of Saturn. The thrust of these various interpretations of Saturn results in his association with insanity:

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[3]Raymond Kibansky, Erwin Panofsky, and Fritz Saxl, Saturn and Melancholy, (New York, Basic Books, Inc., 1964). Hereinafter this reference will be designated as S&M.

> On receiving the full force of this wealth of characteristics and correspondances, derived mainly from post-classical sources . . . one's immediate impression is of utter madness. (S&M, p. 125).

Hence Saturn, castrating his father and eating his children and otherwise symbolizing madness, is an appropriate figure to represent the psychological chaos Goya was experiencing.

If in the Age of Reason, God was no longer the Absolute Goya was seeking, neither was Reason. For Goya, human absurdity, manifested especially in contemporary social norms and in the upheaval of war, negated human reason as a replacement for this lost Absolute. Floundering in a limbo in which neither Religion nor Reason offered a viable solution to the human condition, it is easy to understand why Malraux proposes that Goya's art is a question which asks, "What is the meaning of life since man is mortal?" (S, p. 111).

Like Malraux, Goya often chooses subjects and settings which suggest chaos. Again referring to Saturn Eating His Child, we see a representation of the ultimate chaos--the separation of creation from its creator which strips all meaning away from that creation. Likewise two of Goya's notebooks, The Caprichos and Disasters of the War, present other studies in chaos. The Caprichos treat the incoherence and the absurdity of society whereas the Disasters, like Malraux's novels, represent the

convulsive effects of wartime. Other paintings, such as The Madhouse, The Burial of the Sardine, and The Procession of the Flagellants symbolize mental and social chaos. Colossus, looming over a hysterical crowd is certainly symbolic of the chaos unleashed by war, for it was completed in 1808 (the year of the Napoleonic invasion). However, this terrified crowd could symbolize any apocalyptic occurrence. The notebook Disparates, which translates as "foolishness" or "outrage" deals more specifically with mental chaos. The cartoons of this notebook often carry titles which suggest insanity--"Raging Madness" or "Strange Madness" for example. The central figure of the Disparates entitled "The Old Man Straying Among the Phantoms," bears a striking resemblance to Goya himself and reveals the chaotic state of his own mind. To treat all the works by Goya which indicate the political, social and psychological chaos which Goya knew would require a thesis in itself; nevertheless, the works cited above give some explanation as to why Malraux, whose obsession with chaos has already been established should be so fascinated by Goya. The theme of chaos will penetrate the works of both artists.

CHAPTER I

ORIGIN AND EFFECTS OF CHAOS

In analyzing the nature of chaos, the presence of the irremediable, most often expressed by the imminence of death, is of primary importance. It is in contemplation of the irremediable that man is forced to come to terms with existence--to decide what, if any, values are worth dying for. Faced with the final separation from the Absolute, man must answer Goya's question, "What is the meaning of life since man is mortal?" (S, p. 111).

In The Voices of Silence Malraux defines the irremediable as "the sense of man's fall both in the realm of nature and in the realm of the sacred," (VS, p. 265). We have already noted that Western man, unlike the Oriental, has traditionally set himself apart from nature. Opposing himself to the flux and natural cycles of the universe, Western man attempts to eternalize himself through his role in history. As a result, he has long since fallen from "the realm of nature."

The humanism of the Renaissance gradually drew man away from faith in God and focused more and more on man's ability to determine his own destiny. Taken to its extreme, this emphasis on human capacity led to the "death of God" and the Neitzschean concept of the "Superman"; hence, man's

fall "in the realm of the sacred." Man's destiny thus relegated to himself in the philosophical upheaval of the twentieth century, the moment when he must reckon with the irremediable acquires a perplexing nature.

Malraux describes the effect of man's "fall"--or more prosaically his rejection of an absolute--in The Voices of Silence: "From the Renaissance on, the sense of discord, of an irremediable and final separation has grown steadily, and with it the attitude of rebellion and despair" (VS, p. 161). A sense of the irremediable--and logically following the "attitude of rebellion and despair"--penetrates the work of both Malraux and Goya. The Malrausian hero, who characteristically tries to determine his own fate through decisive action, often seeks out a critical situation which will lead to a confrontation with the irremediable. In La Voie royale, Perken and Claude undertake their expedition fully aware of the immanent dangers of the jungle. Almost every moment presents a confrontation with death--either from the bite of some poisonous insect or from an attack perpetrated by one of the "tribu insoumis." The two adventurers ostentatiously undertake this expedition to procure valuable pieces of ancient art which will reap millions of dollars from European and American art collectors. However, the underlying motive of their adventure is to test the strength of their philosophy of life (and

death)--to establish a confrontation with the irremediable.

Both heroes exhibit an obsession with death. After a conversation with Perken concerning the purpose of their expedition, Claude recognizes his need for the imminence of the irremediable:

> L'austère domination dont il venait de parler à Perken, celle de la mort, se répercutait en lui avec le battement du sang à ses tempes, aussi impérieuse que le besoin sexuel. Etre tué, disparaître, peu lui importait: il ne tenait guère à lui-même, et il aurait ainsi trouvé son combat, à défaut de victoire. Mais accepter vivant la vanité de son existence, comme un cancer, vivre avec cette tiédeur de mort dans la main . . . Qu'était ce besoin d'inconnu, cette destruction provisoire des rapport de prisonnier à maître, que ceux qui ne la connaissaient pas nomment aventure, sinon sa défense contre elle? (LVR, p. 55).

Perhaps a projection of what Claude will one day be, the aging Perken has a sense of the irremediable that the younger man cannot yet possess. He sees his life being irresistably defined for him by the process of time, and he expresses the effect of this element of the irremediable on him:

> Je vous souhaite de mourir jeune, Claude, comme j'ai souhaité peu de choses au monde . . . Vous ne savez pas ce que c'est que le destin limité, irréfutable, qui tombe sur vous comme un règlement sur un prisonnier: la certitude que vous aurez été cela et pas autre chose, que ce que vous n'avez pas eu, vous ne l'aurez jamais. Et derrière soi, tous ses espoirs, ses espoirs qu'on a dans la peau comme on n'aura jamais aucun être vivant . . . (LVR, p. 84-85).

Thus faced with the irremediable in its more subtle form of the passing of time, Perken undertakes this archaeological expedition with the prospect of eternalizing himself.

"Je veux laisser une cicatrice sur cette carte," he says.

As mentioned above, Perken and Claude do not seem to fear the irremediable, but rather to seek it. As examples of the "Malrausian superman," their characters are less human and hence less convincing than the heroes of his later novels. One can observe their situation, but it is difficult to sympathize with them. In La Condition humaine, we see a development of the human aspect. The fear of the irremediable must first be overcome before the heroes of this novel can confer significance upon their existence.

On the night of the attempted coup of the communist faction of the Kuomintang, the communist revolutionaries are in constant danger of their lives. It is in the awesome shadow of the irremediable that two heroes of this novel, Kyo and Katow, make decisions which will bestow significance on their lives and on the cause they uphold.

Facing death or the possibility of it, Kyo accomplishes two acts of this decisive nature. In renouncing his false pride and sense of superiority, he allows May to accompany him to a committee meeting on the night of the clash between the communists and the forces of Chiang-Kaï Shek. He knows he will probably be arrested en route. His decision not to act as May's protector is a final demonstration of his love for her: "Il comprenait maintenant qu'accepter d'entraîner l'être qu'on aime dans la mort

est peut-être la forme totale de l'amour, celle qui ne peut pas être dépassée" (LCH, p. 166).

In another instance, Kyo is able to transcend his fear of the irremediable by choosing to commit suicide rather than to submit to the indignity of torture. Of Japanese descent, he is able to reason, "Et mourir est passivité, mais se tuer est un acte" (LCH, p. 246).

On this night of idealistic confrontation, Kyo's death, along with the death of his comrades, is necessary to assure the significance of his existence. This necessity surfaces as Malraux propounds: "Il mourait, comme chacun de ces hommes, pour avoir donné un sens à sa vie. Qu'eût valu une vie pour laquelle il n'eût pas accepté de mourir?" (LCH, p. 247).

The third and possibly the most far-reaching force behind Kyo's decision to commit suicide is the hope for martyrdom. Kyo realizes that this particular communist coup has been abortive, but he hopes that his death and that of his fellows will be an inspiration for those who survive to continue the struggle. Before taking the cyanide tablet, he envisions the impact of his death: "Mort saturée de ce chevrotement fraternel, assemblée de vaincus où des multitudes reconnaîtraient leurs martyrs, légende sanglante dont se font les légendes dorées." (LCH, p. 247). Thus, for reasons of personal honor as well as to insure the continuity of the communist cause,

Kyo takes his own life in order to have some final control of his own destiny and the destiny of those for whom he dies.

Like Kyo, Katow must also overcome his fear of the irremediable in order to achieve his life's goal--human dignity. By giving his cyanide tablet to Souen and his comrade, Katow is victorious over the terror which man feels when faced with the irremediable. Malraux describes Katow's struggle against this terror:

> Malgré la rumeur, malgré tous ces hommes qui avaient combattu comme lui, Katow était seul, seul entre le corps de son ami mort et ses deux compagnons épouvantés, seul entre ce mur et ce sifflet perdu dans la nuit. Mais un homme pouvait être plus fort que cette solitude et même, peut-être, que ce sifflet atroce: la peur luttait en lui contre la plus terrible tentation de sa vie. Il ouvrit à son tour la boucle de sa ceinture. Enfin:
>
> "Hé! là. dit-il à voix très bas. Souen, pose ta main sur ma poitrine, et prends dès que je la toucherai: je vais vous donner mon cyanure. Il n'y en a 'bsolument que pour deux." (LCH, p. 249).

Thus in an extraordinary act of human compassion, Katow overcomes his fear of death and confers significance not only upon his own life but upon all humanity.

In reference to Goya, Malraux has stated, "No artist not even Baudelaire has revealed so clearly the power of the irremediable." (S, p. 141). Certainly other artists (for example Michelangelo in his painting of the Last Judgment), have treated the theme of final separation from the Absolute. However, this treatment differs greatly

from Goya's. For the Christian artist, the irremediable "only deepened the believer's attitude of supplication and submission and his belief in the ultimate reconciliation through the mediating Christ." (LVS, p. 204). Goya had begun to doubt the possibility of a reconciliation with any Absolute, and this doubt is reflected in the terrifying aspect of his work.

If we recall Malraux's definition of the irremediable--"the sense of Man's fall both in the realm of nature and in the realm of the sacred"--the role of the irremediable in Goya's work takes on its full proportions. As already stated, Goya felt at odds both with the spirit of the Enlightenment and with the spirit of Christianity. For Goya, therefore, an encounter with the irremediable would carry with it all the implications of chaos. According to Malraux, Goya's work expresses "an obsession with everything that reveals the deep chasm between creature and the creator, between the demoniac incarnate in human existence and the lost and unknown ideal." (LVS, p. 206). Surely the most striking example of the "chasm between creature and the creator" is found in the painting Saturn Eating His Child. In this shocking spectacle, the "chasm" of which Malraux spoke is evident. However, there is perhaps a more subtle meaning to this painting when we recall that Saturn has traditionally been recognized in Greco-Roman mythology as the god of time. Hence, as with

the aging Perken, the irrevocable process of time "devours" human life.

As with Malraux, an atmosphere of violence and revolution filled Goya with a sense of the irremediable. In 1808, Napoleon's army invaded Spain and was met with dogged resistance by the Spanish nationalists. At first hopeful of the liberating effect that the French presence would have on austere Spain, Goya witnessed incidents of cruelty and death that severely disillusioned him, not only in regard to the French but in regard to the validity of human reason as well. The tension of the irremediable grips all those who observe Goya's painting The Third of May, 1808: Execution of Rebels. At the moment represented, the bullets have already been fired and there is no hope of reprieve for those standing before the firing squad. The situation is reminiscent of the night of horror which we have previously seen in La Condition humaine.

In his notebook Disasters of the War, death is the subject of almost every drawing. Drawing 14 portrays a resistor being forcably led to the gallows and carries the commentary "Duro es el paso"(It's a hard step to take). Drawing 19 represents a massacre by the French soldiers. With their swords drawn upon the survivors--all women--the sense of finality is stressed by the caption "Ya no hay tiempo"(Time has run out). Here again time appears

as an element of the irremediable.

As a novelist Malraux is able, through narration and direct quotes, to explain the deaths of certain of his heroes. However, in the Disasters (aside from the taciturn commentaries below each drawing), we can know nothing of the subjects Goya depicts. We can only attempt to read into their wide eyes, open mouths and flexed bodies. Thus, in the Disasters, the immediacy of death and the lack of explanation behind human suffering intensifies the horror of the irremediable.

Upon contemplating the irremediable, both Malraux and Goya have sensed man's fundamental alienation, for in the loss of an absolute, man is not only alienated from his creator but also from his fellow man. In a universe without an absolute, the destiny of each man is solitary. More than ten years before Sartre had published L'Etre et le néant, Malraux was already proclaiming the fundamental alienation of man in his novels. This sense of separation is derived not only from the impossibility of knowing others but also from the impossibility of knowing oneself. Malraux has analyzed this solitary state of man in d'une Jeunesse européenne. Jenkins summarizes this analysis:

> . . . Malraux argues the impossibility of knowing other people, to a large extent in terms of the privileged relationship of love. The irony of the lover's situation, he contends, is that his love depends upon two different orders of feeling or

> sensation: his own, and those which he attributes to the other. Yet in fact he can never meet the reality of the other but only his own idea of the other: only his own expectation, only himself. The solitude of the individual at this stage, is seen as irreducible--the more so since he is also a stranger to himself. He has a primary awareness of himself as a kind of brute "intensity," but with a mind which is the unreal derivative of a dead civilization, a perfected instrument now turning in the void, he cannot know himself objectively. And if, in despair, he attempts an independent analysis of the self, he will be led away from the general toward the arbitrariness of the particular. In any event, he cannot conceive himself with any continuity since he sees himself constantly in intentional terms and since his very memory is biased. In the broken-down theater of European civilization this decadent "individualist" is little more than a monster of wish fulfillment: he is absurd. Thus man, hopelessly unable to know himself, cannot find solace in his lonely destiny through the knowledge of others. (Jenkins, p. 41).

The Malrausian hero often chooses his alienation. Three of Malraux's novels, Les Conquérants, La Voie royale, and La Condition humaine treat heroes who have left their native countries. Some are in pursuit of a conquest that they cannot realize in what they consider to be a decadent Western society; others are political exiles. Nevertheless, all of these heroes are doubly alienated--both physically and psychologically. Ironically, their alienation is as much imposed on them as chosen by them for they are not able to accept the values of European society and hence must seek other values in other lands.

In an episode which curiously anticipates the trial in Camus' L'Etranger, Garine of Les Conquérants becomes

acutely aware of his estrangement from society. He is on trial for having paid for an abortion--out of social conviction rather than moral responsibility. The unreal atmosphere of the trial suggests Garine's alienation from those who are judging him: "Pendant la durée du procès, il eut l'impression d'un spectacle irréel; non d'un rêve, mais d'une comédie étrange, un peu ignoble et tout à fait lunaire." (LC, p. 45). The trial motif focuses on the necessity of judgment and consequently on a kind of absolute. Garine's cynicism in regard to the verdict as well as to any form of judgment is apparent in his observation: "Juger, c'est de toute évidence ne pas comprendre, puisque si l'on comprenait, on ne pourrait plus juger" (LC, p. 45). He expresses the inevitability of his own alienation in a telegram to the narrator:

> Je suis a-social comme je suis athée, et de la même facon. Tout cela n'aurait aucune importance si j'étais homme d'étude, mais je sais que tout le long de ma vie je trouverai à mon côté l'ordre social et que je ne pourrai jamais l'accepter sans renoncer à tout ce que je suis. (LC, p. 46).

Thus Garine, at the first opportunity, leaves Europe to organize the Chinese against their European exploiters. His actions, however, are not inspired by an abounding love for humanity. He confides to the narrator that, for him, "Les hommes ne me sont rien" (LC, p. 73). Rather, his role in the Chinese revolution is derived from a

"passion parfaitement désespérée" (LC, p. 46-47). He is seeking conquest for the sake of conquest and, in undertaking what for him is an empty cause, he is alienated from those whom he has inspired to battle. As the forces of the Kuomintang clash with the armies supporting Great Britain, the narrator describes the rejoicing of the Chinese people after their first victory. Viewing the very posters which Garine and his "propaganda army" have created, the narrator evokes the alienation that both he and Garine feel--the romantic alienation of the leader set apart from those he leads:

> Jamais je n'ai éprouvé aussi fortement qu'aujourd'hui l'solement dont me parlait Garine, la solitude dans laquelle nous sommes, la distance qui sépare ce qu'il y a en nous de profond des mouvements de cette foule, et même de son enthousiasme (LC, p. 147).

We find the same kind of alienation known to Garine in the characters of Claude Vannec and Perken of La Voie royale. They have chosen to confront the perils of the Indochinese jungle rather than accept a comfortable existence in their native Europe. By his very aloofness from the other passengers on board the ship heading toward Singapour, Perken attracts Claude:

> Chaque jour la ressemblance que Claude avair pressentie était évidente, accentuée par les inflexions de la voix de Perken, par sa façon de dire "ils" en parlant des passagers--et peut-être des hommes--comme s'il eût été séparé d'eux par son indifférence a se définer socialement. (LVR, p. 20).

Claude's apparent approval of Perken's aloofness establishes

his own sense of alienation.

With age being the major difference between these two heroes who so strongly resemble one another in all other respects, Perken appears as the image of what Claude will be like when he is older. Indeed, Claude is perhaps fascinated by Perken for this very reason. He observes Perken "comme s'il eût prophétiquement vu son propre destin: vers la lutte de celui qui n'a pas voulu vivre dans la communauté des hommes . . ." (LVR, p. 21).

Claude's plan to enter the jungle in search of pieces of ancient art tends to preoccupy him, thus further alienating him:

> Son dessein, tant qu'il l'avait supporté seul, l'avait retranché du monde; lié à un univers incommunicable comme celui de l'aveugle ou du fou, un univers où la forêt et les monuments s'animaient peu á peu lorsque son attention se relachait, hostiles comme de grands animaux . . . (LVR, p. 57).

Having rejected "la communauté d'hommes," Claude withdraws into a private world in contemplation of his future exploits.

In Perken's death we find a portrayal of man's ultimate alienation. Although others might feel compassion toward him, man, in the end, must suffer and die alone. When Claude tries to communicate his compassion to his dying friend, Perken "regardait ce témoin comme un être d'un autre monde" (LVR, p. 269). In this statement,

we understand the extreme alienation of both heroes. Encountering the irremediable, Perken's separation from a world he has long since rejected is complete. Claude is no longer "real" to him. On the other hand, Claude, who cannot communicate his compassion even to the person he so much resembled, experiences the infinite solitude of which Malraux is so convinced.

Still another alienated figure in La Voie royale is Grabot, whom Perken has known previously in the foreign legion. Grabot has disappeared in the jungle and Perken is curious as to his fate. According to Perken, Grabot differs from Claude because he is totally devoid of hope. Describing Grabot, Perken affirms: "C'est un homme réellement seul--et comme tous les hommes seuls--obligé de meubler sa solitude, ce qu'il fait avec le courage . . ." (LVR, p. 143). Grabot's alienation has become an obsession, for, as Perken observes, "Il n'a jamais pensé qu'à lui-même, à ce qui l'isole plutôt, mais comme d'autres pensent au jeu ou au pouvoir . . . Ce n'est pas quelqu'un mais c'est surement quelque chose." (LVR, p. 142). Thus in recognizing only what is different in him, only what separates him from others, Grabot ceases to identify himself with the human race and becomes "quelque chose."

Grabot's daring actions are in defiance of a

society from which he feels so radically estranged. Perken explains: "Et il est réellement très brave. Il se sent peu intelligent, grossier dès qu'il retourne dans les villes; alors, il compense: il est dans le courage comme dans une espèce de famille . . ." (LVR, p. 144). Thus in his defiant acts, such as putting out his own eye, Grabot represents a more primitive, but still alienated, "conquérant."

In La Condition humaine, Tchen is a vestige of the type of hero seen in Les Conquérants--a leader alienated from those he leads. Although he is acting in conjunction with others to achieve a cause, Tchen remains aloof from them. Joining a group of textile workers into combat against the forces of Chiang-Kaï Shek, Tchen feels alienated even among his fellows:

> Il n'était pas des leurs. Malgré le meurtre, malgré sa propre présence. S'il mourait aujourd'hui, il mourrait seul. Pour eux, tout était si simple: ils allaient à la conquête de leur pain et leur dignité. Pour lui . . . sauf de leur douleur et de leur combat commun, il ne savait même pas leur parler (LCH, p. 74).

Just before his attempt to assassinate Chiang, Tchen takes leave of two comrades, Souen and Peï, who have just joined him in an earlier and unsuccessful assassination attempt. Souen has just revealed to Tchen that he cannot help him in this second effort because he, Souen, feels that by this act he would not be supporting

the revolution but assisting Tchen in consummating his fascination with blood and murder. At this disclosure, Tchen feels completely and finally alienated: "Il ne pouvait plus supporter aucune présence" (LCH, p. 151). When Peï volunteers to accompany him, Tchen refuses his offer, telling Peï that he must live on to explain Tchen's action through his writing--to testify. Tchen's total alienation is expressed as he takes leave of his comrades: "Jamais il'n'eût cru qu'on pût être si seul." (LCH, p. 152). Thus Tchen, like Garine, represents a rather Vignyesque figure of alienation.

We understand more fully Tchen's sense of alienation in his meeting with his former professor, Gisors. As his professor, Gisors has been very influential in Tchen's intellectual development. After committing his first assassination for the revolution, Tchen comes to Gisors in a final effort to abate his profound sense of loneliness. At this meeting a mutual disenchantment occurs, thus intensifying each man's private sense of alienation and driving each one toward his own particular obsession: death for Tchen; opium for Gisors. Tchen confesses to Gisors, "Je suis extraordinairement seul." (LCH, p. 48). But Tchen realizes by the nature of Gisors' questions that his former professor does not understand him and his feeling of alienation is deepened. He takes leave of

Gisors in embittered resignation, bowing to him rather than offering his hand.

Gisors, although not fully responsive to Tchen's immediate dilemma, is aware of Tchen's effective alienation. In his last interview with Gisors, Tchen responds to one of Gisors' questions to which the answer seems all too obvious by the curt affirmation, "Je suis Chinois" (LCH, p. 50). This remark causes Gisors to reflect: "Non . . . Tchen n'appartenait plus à la Chine, même par la façon dont il l'avait quittée: une liberté totale, quasi-inhumaine le livrait totalement aux idées" (LCH, p. 50).

This sense of alienation so sharply felt by Tchen is not unfamiliar to Gisors. A saying which Gisors has often repeated, "Il n'y a pas de connaissance des êtres," (LCH, p. 50), echoes Malraux's belief in the fundamental alienation of the individual. This painful truth comes to Gisors when he realizes that he does not even know his own son, Kyo, whom he idolizes. After Tchen's departure, Gisors, desiring Kyo's presence, studies his son's photograph and reflects that: ". . .là où il [Gisors] était, personne ne connaissait plus personne--et que la présence même de Kyo, qu'il avait tant souhaitée tout à l'heure, n'eût rien changé, n'eût rendu que plus désespérée leur séparation, comme celle des amis qu'on étreint en rêve et qui sont morts depuis des années" (LCH,

p. 56). With this realization, Gisors, retreating into a world dulled by opium, is aware that he is drifting toward an unbreachable separation from the rest of the world.

> Il se sentait pénétrer, avec sa conscience intruse, dans un domaine qui lui appartenait plus que tout autre, posséder avec angoisse une solitude interdite où nul ne le rejoindrait jamais . . . Cette solitude totale, même l'amour qu'il avait pour Kyo ne l'en délivrait pas. (LCH, p. 57).

The sense of alienation which characterizes so many of Malraux's heroes was also known to Goya. Until 1793, this artist seems to have managed well in and even enjoyed court life in his position as First Painter to the King. Two factors--his deafness and the Napoleonic invasion--precipitated Goya's metamorphosis from a fashionable court painter of decorative works to the precursor of modern art. Never satisfied with any of the three governments he knew in Spain, Goya, like the "conquérants," was to die in France in a self-imposed exile.

In 1793, Goya was left deaf after a still undiagnosed illness and was thus inevitably estranged from society. It is perhaps significant that six years after he was stricken deaf, Goya's notebook of etchings, The Caprichos, appeared. Herein were contained satirical observations of the society which he had formally accepted, and with this satire was the first indication of his separation from that society. Another element of The

Caprichos, fantasy, also suggests Goya's alienation. As previously noted, Goya was a contemporary of the Age of Reason. In Saturn, Malraux proclaims the significance of Goya's obsession with the fantastic: "In a century which set its heart on consciousness--and logic even to the guillotine--Goya introduced the unconscious" (S, p. 152). Goya's dilemma reminds us of Gisors', the intellectual of La Condition humaine, for whom human reason was no longer a viable solution for coping with existence. Both Gisors and Goya seem to have been contending with the same opponent: "Cette force, cette furieuse imagination sous-terraine qui était en lui-même . . . (et qui) etait prête à prendre toutes les formes ainsi que la lumière." (LCH, p. 57). The disturbing power which these "taboo" forces held over Goya, establishing itself in The Caprichos and reaching its climax in the Black Paintings of the Quinta del Sordo, must have caused him to feel uncomfortably isolated from his own epoch. Nevertheless, Goya sought to exorcise these forces by expressing them in his work; Gisors sought to suppress them.

Goya's private sense of alienation is transferred to much of his work. Analyzing The Disasters, Malraux surmises: "His patriots conquer and die almost always alone; his crowds are always mere on-lookers." (S, p. 158). A glance through the pages of this notebook will verify

this comment. Disaster 7 pictures a fragile young woman as the only remaining defender of her village. In the foreground she is surrounded by dead bodies. The cannon which she is charging points to a lonely and desolate background. Not even the enemy is visible here. Her solitude is total.

Disaster 15 portrays an execution scene. The central figure is bound to a post, blind-folded. Only the barrels of his executioners' rifles are visible. Although we see in the background a reflexion of the central figure's situation (soldiers firing on another bound prisoner) and in the foreground a prisoner who has already been executed, a sense of extreme loneliness makes this drawing a poignant symbol of every man's ultimate solitary destiny. Disaster 36 treats a similar theme. Here the subject is a hanged man and the background is filled by vague outlines of other rebels who have met the same fate. The enemy soldier is contemplating the central figure. No hint of regret, terror, or compassion disfigures his facial expression. Thus, in his lack of compassion for a fellow human being, he represents man's alienation from other men in a most brutal manner.

Again referring to The Third of May, 1808, we find still another expression of alienation. Although the victims of Napoleon's invading army are all about to

suffer the same dreadful fate, there is no apparent communion between them. Featuring various emotions of fear, resignation, piety, and defiance, the subjects in the painting, like the Malrausian hero, "conquer and die alone."

A final symbol of man's fatal alienation is found in the painting Saturn. Depicting a rather deranged-looking god ravenously devouring his own child, this work is a symbol of the schism between creature and creator--a total abnegation of the absolute, which spins man into a dizzying chaos where neither he nor his fellow man has any predetermined significance and where both creature and creator are unknowable--the ultimate alienation.

A direct result of man's recognition of his fundamental alienation is a sense of anguish. Violet Horvath has defined Malraux's concept of anguish as "the terror of feeling separated, cut off and alone, of feeling the abyss plunging between oneself and the rest . . . the experience that leads man to the point of his deepest solitude."[1] It is perhaps logical that this sense of anguish is not so sharply felt in Malraux's earlier novels--Les Conquérants and La Voie royale. As mentioned

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[1]Violet Horvath, André Malraux: The Human Adventure, (New York: New York University Press, 1969), pp. 203-204.

earlier, the heroes of these novels are representations of the Neitzschean "superman" who undertakes grandiose projects in order to prove his superiority--to manipulate as much as possible his own destiny. He has no real regard for his fellow men as human beings; indeed, he disdains them. Although his sense of alienation is profound, it is also, to a great extent, actively chosen. In his first novels, Malraux seems to halt characterization at the hero's "deepest point of solitude." Anguish, however, will become a major element in his more mature novel, La Condition humaine.

An examination of the vocabulary of La Condition humaine leaves one word outstanding--"anguish." Tchen is anguished when he hears the cries of a man whom his combat group has taken prisoner. The prisoner's leg has been blown off by a grenade and his hands are still tied behind his back. The spectacle of this suffering causes Tchen to transcend the absurd and almost arbitrary boundaries created by war. As Tchen risks his life to untie the hands of this prisoner, he realizes his inability to alter the situation:

> Le sentiment qu'il éprouvait était beaucoup plus fort que la pitié: il était lui-même cet homme ligoté . . . Son angoisse [celle de Tchen] était d'être blessé au ventre; elle lui était pourtant moins intolérable que la vue de cet être torturé et ficelé, que cette impuissance dans la douleur. (LCH, p. 79-80).

With Tchen's experience, the idea of anguish is expanded

to include man's sense of helplessness in the face of suffering, "cette impuissance dans la douleur."

For Kyo and Gisors, the very awareness of being human fills man with a sense of anguish. Kyo feels the anguish which accompanies man's basic solitude as he meets with Tchen on the night of the communist's bid for power:

> En même temps que le rapprochait de Tchen la camaraderie nocturne, une grande dépendance pénétrait Kyo, l'angoisse de n'être qu'un homme, que lui-même; il se souvint des musulmans qu'il avait vus, par des nuits pareilles prosternés dans les steppes de la lavande brûlée, hurler ces chants qui déchirent depuis des millénaires l'homme qui souffre et sait qu'il mourra. (LCH, p. 121).

For Gisors, the human condition can imply nothing but anguish. After Kyo's death, Gisors withdraws into his consoling habit of opium and refuses to accompany May, Kyo's wife, to Moscow to continue the communist cause. In his old age, he concludes: "Tous souffrent . . . et chacun souffre parce qu'il pense. Tout au fond, l'esprit ne pense l'homme que dans l'éternel, et la conscience de l'homme ne peut être qu'angoisse" (LCH, p. 273). Thus it is that when these heroes encounter the limitations of being human, they experience--and understand--anguish.

Just as concerned with the human condition as Malraux, Goya is, according to Malraux himself, "the

greatest exponent of agony that Western Europe has yet known (LVS, p. 165). Analyzing Goya's work, Malraux cites agony as "the unifying emotion which runs through all his most obsessional images from Saturn down to the Female Prisoners and the scenes of strangling" (GDF, p. xxii). In L'Humanisme d'André Malraux, Hoffman points to a sense of anguish as the characteristic of Goya's work which made him stand apart from other artists:

> L'agnosticisme rationaliste du siècle des lumières--dont Goya fait partie--pensait avoir rompu avec l'angoisse: il allait être incapable d'opposer une réponse à son brusque surgissement dans la vie de Goya et dans les événements de son temps. Aussi Goya va-t-il chercher une réponse dans sa peinture même.[2]

Turning again to Horvath's definition on anguish--"the experience that leads man to his deepest point of solitude"--we need only recall the characteristic alienation of his subjects, to realize the role of anguish in this artist's work. If we add to this definition the dimension of helplessness derived from the limitations inherent in the human condition, we find that several of the Disasters illustrate this element of anguish. Disaster 18, entitled "Enterrar y Callar" (Bury the dead in silence), suggests the uselessness of mourning for the dead, regardless of how cruel and unjust their death might have been. This drawing depicts a man and a woman crying over a pile

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[2]Joseph Hoffman, L'Humanisme d'André Malraux, (Paris: Librarie C. Klincksieck, 1963), p. 355.

of dead bodies, victims of the war. Disaster 60 is an almost identical scene and conveys the agonized helplessness of two survivors of a massacre through its caption "No hay quien los secorrer"(There is no one to help them). One might wonder whether the "them" refers to the living or the dead of this drawing, for what or who can console these witnesses of such outrageous suffering? Disaster 59 shows a young woman expiring in the arms of an elderly woman. They are surrounded by dead bodies. A third figure is offering a cup of liquid to the wounded woman. The question asked by the older woman, "De qué sirve una taza?"(What good is a cup?) illustrates the futility of this charitable act. Death being imminent, a meager cup of some liquid is of little assistance. And so, Goya, like Malraux, aware of the agony imminent in man's earthly state, was compelled to express this agony throughout his artistic creation.

In summary, we have seen how chaos is unleashed when man rejects the idea of an absolute. This irremediable schism between creature and creator fills man with a profound sense of alienation for he finds himself in a universe where his creator, his fellowman, and even himself are all unknowable. In this universe, man can depend neither on some superior force nor on other human beings (and rarely on himself) to mitigate the misery--

whether physical or metaphysical--which inevitably accompanies the human condition. As a result a sense of anguish is inherent in human existence. It becomes the role of the artist to contend with the existential dilemma of modern man.

CHAPTER II

CHAOS RENDERED STYLISTICALLY--LIGHTING TECHNIQUES

In The Voices of Silence, Malraux has defined the role of the artist as that of "rectifying the world by transforming the chaos of appearance into significant form." (VS, p. 192). Goya has expressed a similar conception of the role of the artist in the Capricho "El sueño de la razón produce monstruos (The sleep of reason produces monsters)."[1] To this plate, Goya has added the commentary: "The artist dreaming. His only purpose is to banish harmful, vulgar beliefs and to perpetrate in his work the solid testimony of truth." In seeking to "rectify the world" or to "perpetrate the solid testimony of truth," the artist enters into a struggle with creation as it presently exists. In speaking for Goya, Malraux speaks for all artists when he says, "What he did understand was that his enemy was the creation . . . He knew now . . . that his world would never replace the real one except by a new system of relationships between things and beings" (S, p. 46). Malraux and Goya express this struggle stylistically as well as thematically.

Traditionally, darkness has been a major motif for

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[1]All titles and commentaries to Goya's Caprichos are found in the Appendix of José Lopez-Rey, Goya's Caprichos: Beauty, Reason, and Caricature, (Princeton: Princeton University Press, 1953), I, pp. 187-213.

representing chaos. The book of Genesis describes the chaos of pre-creation by the statement, "Darkness was upon the face of the earth." In the Metamorphoses, Ovid also emphasizes the absence of light in his description of chaos:

> . . . there was no sun
> To light the earth; there was no moon
> With slender silver crescents filling slowly.[2]

Likewise Malraux and Goya have drawn heavily on the darkness motif to suggest chaos.

In Goya's notebook the Caprichos many of the scenes depicted are nocturnal. Pictorially chaos is represented by the demons, hobgoblins and other such supernatural creatures who, through superstition, strive to shake human reason. We should remember that in 1799 (the date of publication of the Caprichos), Goya had not yet witnessed the scenes of slaughter, execution, and rape which occurred during the Napoleonic invasion of 1808. Although he was aware of the absurdities of society, he still believed that many of these absurdities could be corrected through human reason. Thus in the Caprichos, darkness represents that which threatens man's reason. Reason itself is represented by light.

Capricho 43, originally intended as the frontispiece

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[2]Ovid, Metamorphoses, (Bloomington: Indiana University Press, 1955), trans. by Rolfe Humphries, p. 3.

for this notebook, features an artist (who represents reason, lucidity, and truth), slumping over a writing desk, asleep. The bats and owls which hover over this slumbering artist represent the horrors that arise when reason sleeps. Thus Goya is giving a warning of the dangers of the night, which symbolizes ignorance, superstition, and, in short, all forms of un-enlightenment. Capricho 12 presents another nocturnal scene in which a young girl is extracting a tooth from a hanged man, for it was believed at that time that such teeth were more efficient for bewitching. From her facial expression we can see that she is terrified by her own act. In his commentary on this etching, Goya is obviously mocking the tooth hunter: "Pity that common people would believe such nonsense." In Capricho 70, a bevy of witches gathers around the central figure to whose waist are attached several small children. The caption, "Si amanece, no vamos " (When dawn comes, we leave) suggests the precarious existence of these creatures. José Lopez-Rey notes that this entry "is the only Capricho plate in which the darkness of the sky is mitigated by the stars which fill it."[3] Thus it is only in the chaos of the night (in the absence of lucidity) that these creatures

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[3]José Lopez-Rey, Goya's Caprichos: Beauty, Reason, and Caricature, (Princeton: Princeton University Press, 1953), I, p. 159.

can exist. With the dawn, which symbolizes the rationality of the Enlightenment, these objects of superstition can no longer intimidate man.

The last plate of the Caprichos represents several diabolical figures who are waking up. The caption, "Ya es hora"(It's time to go) completes Goya's thesis that the monsters of the night (superstition) disappear at dawn (with the advent of reason). His commentary on this Capricho is a mocking challenge to those who would believe in the existence of the supernatural:

> As soon as the day breaks, they fly, each one his own way, the witches, the hobgoblins, the visions, and the phantoms. It is a good thing that these people show themselves only by night and in the dark. No one has ever been able to find out where they hide and lock themselves up during daytime. He who would catch a group of goblins in their den, and show them in a cage at ten o'clock in the morning on the Puerta del Sol would not need any rights of primogeniture to an entailed estate.

In his study of the Caprichos Lopez-Rey insists on Goya's faith in eighteenth century rationalism--on man's ability to dominate the supernatural by explaining it out of existence. In Capricho 59, some witches are supporting a tombstone which is leaning over a sleeping man. Lopez-Rey asserts that this entry carries the same theme as the Caprichos already discussed, claiming that the frightened look on these witches' faces is due to the coming of daylight, whose arrival "may force them to disband and leave unhurt the sleeping man still unaware

of the dangers threatening him" (p. 150). Malraux, on the other hand, cites this drawing as the first indication that the forces of the unconscious which Goya was mocking were beginning to overpower the artist himself: "This plate was the first summons of the powerful voice from beneath the earth. If only the demons, their little arms upraised would flee in the dawn! It is not daylight that is coming, it is the end of satire, the accent of incurable night" (S, p. 63). Indeed, the caption to this etching, "Y aun no se van " (And they still don't go) would seem to support Malraux's argument. Nevertheless, whether we believe Lopez-Rey or Malraux, it remains evident that chaos, in the form of superstition, the powers of the irrational, is a unifying theme of this notebook--whether mocking Goya or being mocked by him.

Goya's use of the darkness motif also marks his paintings. According to Folke Nordström, Goya's reliance on dark colors to convey mood asserts itself early in his work. He cites the painting La Cita (The Rendezvous), executed in 1779, as distinguishing itself by its somber tones: ". . . the foreground does not contrast with the lighter and more cheerful tones in the background, as frequently happens at that period, being also strikingly dark."[4] Nevertheless, we recognize Goya's most impressive

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[4]Folke Nordstrom, Goya, Saturn, and Melancholy,

use of darkness to convey a sense of chaos in what are popularly known as his "Black Paintings." In Chapter I, we established the relationship between Saturn and chaos; hence, it is significant that the painting Saturn Eating His Child be the key painting in this group. The blackness of this painting takes on a double significance when Nordström observes: "Saturn's color is black. He is often depicted in black clothes or more or less nude, but with black always as the predominating color" (p. 199). The solid black, implacable background of this painting is frightening to gaze upon, for it gives the impression of the void, the abyss, the eternal night, of the "darkness that was upon the face of the deep," hence of the return of chaos which man has eternally dreaded. As the dominant painting in the dining room of the Quinta del Sordo, Saturn sets the tone and the mood of the other "Black Paintings"--Judith and Holofernes, La Manola, Two Old Monks, The Witches' Sabath, the Pilgrimage to San Isidro, and An Old Man Eating His Soup. Nordström analyzes the relationship between the coloring of Saturn and the other paintings:

> Here, then, we find a connection with this keytone not only in the colouring of the Saturn painting but also that of most of the other "pinturas negras"; black, greyish black or dark, extremely broken colors like the dark brown for instance predominate, and have given the paintings their popular name" (p. 199).

Malraux poetically analyzes the role of darkness in these paintings: "For the first time (in how many centuries!) an artist heard welling up inside himself a message which was nothing but the neverending song of darkness" (S, p. 141-142). Thus the traditional motif of darkness, both

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(Uppsala, Sweden, Almquist and Wiksells, 1962), p. 16.

by the color black and by this color's association with Saturn, (the god often associated with mental chaos), provides Goya with a dramatic means of expressing chaos.

Darkness and night are also important elements in Malraux's portrayal of chaos. Almost all the action of La Condition humaine, for example, occurs in the dark hours. The nocturnal setting of this novel enhances the political chaos which reigns on this eve of conflict between the two opposing faction of the Kuomintang, for in the darkness it is difficult to distinguish between friend and enemy. The characters of the novel move like silhouettes through the darkness surrounding them, as if they were drifting in chaos. Blumenthal offers an explanation for Malraux's frequent use of the nocturnal setting:

> The black and timeless is one of the birthplaces of the imagination. Both on the level of concrete reality and as a metaphysical symbol, it not only constitutes the center of Malraux's work and of what he calls our "temps déshérité," but again and again, Malraux reveals its summoning power, that stinging bite that activates all human faculties--mind, will, imagination--either toward the discovery of man's power of transcending his prisoner's estate, or toward his active and fateful collaboration in its destruction of him.[5]

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[5]Gerda Blumenthal, André Malraux: The Conquest of Dread, (Baltimore: Johns Hopkins Press, 1960), p. 24.

With this observation, we are reminded of the emphasis Malraux gave to Goya's reliance on darkness: "Like the eyes of a cat, his imagination only lights up in the dark." (S, p. 133). Thus, for both artists, chaos, represented by darkness, becomes a catalyst in the creative process. Its existence is disturbing for the artist, but, as evil can bring forth good, so can extreme disorder challenge the artist to impose his own order upon his universe.

The opaqueness of the night of La Condition humaine is emphasized as Kyo sets out to attend a meeting of the Comité militaire:

> . . . Kyo avançait dans le brouillard.
> . . . . . .
> Kyo commençait à voir dans la brume pas encore levée . . . la lumière trouble où se tenait le Comité militaire. Brume et nuit opaques: il dut allumer son briquet pour savoir l'heure (LCH, p. 203-204).

The misty atmosphere which hovers over these two scenes also infiltrates the prison where Kyo and Katow meet their deaths:

> . . . les ramages de fumée se perdaient jusqu'au plafond déjà obscure malgré les grandes fenêtres européennes assombries par le soir et le brouillard du dehors . . . Bien que le jour n'eût pas encore disparu, l'atmosphère était une atmosphère nocturne. (LCH, p. 241).

Hence it is in darkness, the "black and timeless pit," that these two heroes act and meet their deaths. The nocturnal atmosphere of La Condition humaine represents

the chaos which man must transcend if he is to leave his mark, his "cicatrice," upon the universe.

Etching, a technique which draws its effectiveness from only two colors, black and white, proved for Goya to be another stylistic means for expressing chaos. In etching, the idea of chaos is evoked by the stark opposition between dark and light--an opposition which suggests a clash between the forces of chaos (represented by black) and those of creation (represented by white). Furthermore, in his etchings, Goya exploited the use of shadow to convey a sense of chaos, of the uncertainty of that which is lurking in the darkness. Malraux signals the major role of shadow in Goya's etchings by stressing that "the light which he lets down, instead of illuminating the puppets, stretches their immense shadows out over infinity" (S, p. 53). Indeed, throughout the Caprichos we are aware of the shadows in the background which leave us with an impression that they may materialize in a most alarming manner. In Capricho 71, a black shadow hovers over an already somber setting. At first glance we might think that this is the shadow of the central figure. However, taking into consideration the angle from which the light is cast, we realize that this shadow could not possibly be a reflection of any of the subjects of this etching, and we are overcome by a feeling of uneasiness.

The opposition of black and white in the etchings of the Disasters of the War is also a stylistic reinforcement of a chaos-related theme. According to Elie Faure, black and white are colors which "par leur monotonie même . . . symbolisent inconsciemment les alternatives de désespoir et d'espérance auxquelles notre espèce est soumise pour l'éternité."[6] Thus in this notebook, too, we sense the eternal struggle of man who is trying to confer significant form upon his existence, and we receive this impression through the contrast of black and white.

As a result of Goya's mastery of etching, his painting was released from the bonds of traditional coloring. Malraux describes the liberating effect that etching was to have on Goya's painting: "Accustomed to a technique where colour is expressed only by black and white, the painter is led to employ colour, like black and white, to express and not to represent." (S, p. 145). Therefore, as a result of his work in etching, Goya's painting anticipates the expressionist movement of the twentieth century. And like expressionism, it opposed itself to the harmony of the arabesque which had characterized art since the Renaissance. Thus, in destroying

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[6]Elie Faure, Désastres de la guerre, (Vienna, Phaidon-Verlag, 1937), p. 14.

this harmony in favor of thick, broken lines and unharmonious colors, Goya's art became an expression of the lost absolute and hence of chaos.

In addition to the development of a new and revolutionary color scheme as a result of his etchings, Goya also transferred his mastery of shadow from etching to painting. According to Malraux, in many of his paintings (the Sacrifice, the Plague, the Shipwreck, for example), "Goya seems . . . to be setting down a shadow that the has to people." (S, p. 105). As in his etchings, this shadow suggests the imminence of the unknown, frightening forces which have terrified man through the ages. These shadows do not appear as the volumeless reflection of the "real" world; rather, his subjects, enveloped in shadows, often seem to be the weak reflection of some other world. Malraux analyzes this use of shadow: "What he is searching for now is something of which he had surmised the possibility in his later cartoons--a style of painting in which the figures, without lacking body, form an integral part of the background." (S, p. 106). In these later paintings, Malraux claims that Goya's art "revives in anguish the shapes lost in the darkness of Genesis." (LVR, p. 138). Thus, in this darkness, the chaotic element asserts itself in his paintings as well as in his etchings.

Possibly because of his sensitivity to artistic techniques, Malraux in his novels has employed many of the lighting techniques we have seen in Goya's etchings and paintings. We have already examined the role of the dark (night)-motif in La Condition humaine. As with Goya, shadows were for Malraux another effective means to conjure up a sense of chaos. Often Malraux himself seems to be "setting down a shadow he has to people." In La Voir royale, for example, he describes a jungle scene as if he were seeing it through a Chinese shadow:

> Les deux silhouettes durement sécouées par le trot des petits chevaux s'enfoncaient dans la tranchée de feuilles comme des mineurs dans la terre; noires, elles apparaissaient soudain en vert, de loin en loin, lorsque quelque rayon de soleil s'écrasait sur la piste . . . (LVR, p. 138).

The colored shadows recall a technique of the impressionist painters, who like Malraux and Goya, believed that the world was largely illusion and who also were attempting to decipher this "chaos of appearance" with which the artist must contend before he is able to confer significant form upon his world.

In the scene in which Perken finally discovers Grabot in a cave in the Moïs village, Malraux effectively uses the shadow technique to develop Perken's awareness that this man of incredible strength and daring has become a slave:

> Une clochette tintait. Tombant du toit, une barre de soleil oblique, aux atomes sérres, d'un bleu foncé; des masses d'ombres tournaient autour comme autour d'un essieu, montant et descendant. La plus haute se précisa: Une traverse horizontale qui de profil devint nette. Quelque chose, au bout, la tirait. Elle pivotait autour d'un grand baquet, d'une cuve . . . Elle tournait vers eux, perdant sa forme à mesure qu'elle s'éloignait de la projection éblouissante de l'ouverture plaquée sur la poussière du sol autour de leurs silhouettes enchevetrées, aux longs troncs et aux courtes jambes. (LVR, p. 171-172).

In the darkness of the cave, the shadows, by their constant movement and deformation of reality relative to their position to the sun, give an impression of uncertainty as to what is actually in the cave and dramatically increase the tension of the narration.

In Les Conquérants we also sense that the characters are moving through a dense shadow. However, the haze which Malraux sets down upon Les Conquérants opposes itself to that which we have seen in La Condition humaine, for its source is the intense sunlight, where as in Malraux's later novel, the setting is nocturnal. Approaching Canton, the narrator describes the dense haze which surrounds this port:

> Sur le quai, le profil dentelé des maisons américaines et des maisons chinoises: au-dessus, le ciel sans couleur à force de lumière; et partout légère comme une mousse; sur les sampans, sur les maisons, sur l'eau, cette lumière dans laquelle nous pénétrons comme dans un brouillard incandescent. (LC, p. 56).

Thus he observes from a distance the shadowy atmosphere in which much of the action of this novel will occur.

As in Les Conquérants, Malraux exploits the Chinese shadow technique to establish an unreal atmosphere: "Lorsque nous passons des figures apparaissent aux fenêtres, derrière une toile tendue ou un lit dressé, et s'effacent aussitôt." (LC, p. 90). This same effect is achieved as the narrator describes the atmosphere of the room where Hong is addressing a crowd of laborers:

> Une rumeur basse, dans laquelle des phrases, ça et là, s'émiettent, monte avec le brouillard épais et bleuâtre. Je ne distinque que les deux grands prismes de soleil criblés d'atomes, que projettent les fenêtres et qui plongent comme des barres obliques dans l'ombre de la salle. Lumiére, poussière, fumée, matière fluide et dense où le tabac dessine des ramages." (LC, p. 109).

In Les Conquérants certain activities are made known only through the movement of shadows. In the wake of the general strike, there is little activity and what activity there is appears suspect. Shadows become an effective means of rendering this surreptitious activity. Upon their entry into Canton, Klein and the narrator proceed to Garine's headquarters. The streets are empty and "l'éclat blanchâtre et mat de la chaussée brûlante n'est tachée que de la silhouette clopinante d'un marchand de soupe bientôt disparu dans une ruelle." (LC, p. 57). Later, we discern the military activity by "des silhouettes des cadets qui se croisent . . . On ne distingue rien hors des faisceaux lumineux des phares, mais

on sent qu'en bas une foule mouvante anime l'ombre, avec le besoin de parler haut qui suit les combats." (LC, p. 93).

The feeling of uneasiness created by shadows in Les Conquérants recurs in La Condition humaine. In the opening scene, Tchen is frightened by the shadow of a cat:

> Et à côté d'elle [une tache de sang] grandissant comme elle, parut l'ombre de deux oreilles pointues.
> La porte était proche, le balcon plus éloigné; mais c'était du balcon que venait l'ombre. Bien que Tchen ne crût pas aux génies, il était paralysé, incapable de se retourner. (LCH, p. 10).

This passage reminds us of the superstition which Goya was satirizing in the Caprichos and brings forth the power of superstition to intimidate even the most rational of men--such as Tchen and, as Lopez-Rey would have it, Goya.

In La Condition humaine more than in his other novels, Malraux seems to have blanketed the nocturnal scenes with a dense haze or fog and, as did Goya in his paintings, this author fills this haze with his characters. As Kyo and Katow take leave of Hemmelrich, they seem to be engulfed in shadow:

> Des nuages très bas lourdement massés, arrachés par places, ne laissaient plus paraître les dernières étoiles que dans la profondeur de leurs déchirures. Cette vie des nuages animait l'obscurité, tantôt plus légère et tantôt intense, comme si d'immenses ombres fussent venues parfois approfondir la nuit. (LCH, p. 18).

We have seen how, in his etchings, Goya casts a light on his subjects--a light which "stretches their immense shadow out over infinity." Malraux has employed the same technique as he describes Katow's heroic death. As Katow waits in the section of the prison reserved for those to be tortured, his fellow prisoners "suivaient du regard son ombre pas encore très noire qui grandissait sur le mur des torturés." (LCH, p. 243). As he proceeds to his death, we see his shadow "stretching out over infinity":

> . . . le fanal projeta l'ombre maintenant très noire de Katow sur les grandes fenêtres nocturnes . . . lorsque son balancement se rapprochait du fanal, la silhouette de sa tête de perdait au plafond. (LCH, p. 252).

We have also seen how Goya developed a style of painting "in which the figures, without lacking body, form an integral part of the background." This technique also appears in some scenes of Malraux's novels. Approaching the island of Hong Kong, the narrator notes how the component parts of the island mingle with the background of the night sky:

> Des maisons, on ne voit qu'un semis de lumières incroyablement serrées, presque mêlées au-dessus du profil tremblant des restaurants chinois, et qui se désagrège, comme le noir du roc, à mesure qu'il s'élève pour aller se perdre là-haut dans les étoiles éclatantes et lourdes. (LC, p. 29-30).

In a scene of a more transitory nature, we see the same effect as the dust disintegrates into the sunlight: "la

poussière monte et va se perdre dans la lumière." (LC, p. 128). In La Voie royale Perken and Claude become one with the background as they contend with the Moïs: ". . . les hommes entraient dans la lumière rouge, attachés à la nuit par leurs ombres qui s'y perdaient." (LVR, p. 208). Thus the subjects of these descriptions blend in with the shadows and become associated with the chaos which is threatening them.

The lighting techniques of both Malraux and Goya also suggest chaos by creating an unreal atmosphere--one with which man is unfamiliar and with which he cannot identify and therefore one which threatens him. Analyzing Goya's use of etching, Malraux submits: "No technique agrees better with the uncanny than it [etching] does." (S, p. 53). In regard to etching Malraux emphasizes the importance of dark colors for enhancing an unreal atmosphere because these colors "take the scene out of reality and . . . place it at once in a universe that does not belong to man" (S, p. 63).

In reference to Goya's lighting techniques Malraux asserts: "Goya had no lighting, only illumination" (S, p. 58). Malraux explains the apocalytic quality of Goya's lighting as follows:

> Nor does Goya's lighting tend to build up space. Like that of Rembrandt, it tends to connect that which it marks off from the shadow and to give it a meaning that goes beyond it, and, to be precise, transcend it. The darkness is not merely black, it is also darkness. (S, p. 53-54).

Because of the frequent use of nocturnal setting in the Caprichos the illumination often comes from the moon, which, of course, does not cast its own light but rather reflects that of the sun. Moonlight then creates an extra-terrestrial atmosphere and hereby constitutes an expression of chaos--of that which is foreign to man and of that over which he has no control.

Goya's use of color is another important means of "rectifying the world of appearance," for, as Malraux observes in Saturn, "Goya wanted the world to admit that it was only appearance. He expressed it by a colour that denies colouring" (S, p. 63). As Goya transferred his use of shadow to his painting, so did he also transfer the quality of lighting which he discovered in etching to his paintings--and with the same result. Goya's use of a feeble light creates an uncanny atmosphere of Goya's first Caprichos as "a Spanish theatre more complex than that of the tapestries, a make-believe theatre that often retains the gleam of candle-light" (S, p. 40). Goya's lighting takes on its fullest expression of chaos in Saturn, for as Malraux indicates, this painting is composed of a "world of imaginary light and shade . . . a world that has become the expression of madness and not its representation." (S, p. 83).

Like Goya, Malraux also illuminates many of his scenes with what Blumenthal has described as a "phantom

illumination" (p. 25). Again turning to the first scene of La Condition humaine, we are introduced into the phantasmal atmosphere of Shanghaï as Tchen stands before the city and observes "les lumières de nuit refletées à travers une brume jaune par le macadam mouillé." (LCH, p. 10-11). The light reflected off the wet pavement creates the same surreal atmosphere which typifies Goya's etchings and many of his later paintings. A similar effect appears elsewhere as Tchen meets with Souen and Peï:

> Le ciel gris, il régnait là une lumière plombée comme celle qui précède les orages; dans cette brume sale brillaient sur les panses des lampes-tempêtes des effets de lumière, points d'interrogation renversées et paralleles. (LCH, p. 149).

Here, the weak light accompanied by the illusion of the question marks cast by the shadows creates a Goyaesque nightscape of uncanniness. The following passage is particularly expressive of the unearthly atmosphere which penetrates La Condition humaine:

> Les lampes à pétrole s'allumaient au fond des boutiques, ça et là, quelques silhouettes d'arbres et de cornes de maisons montaient sur le ciel de l'ouest où demeurait une lumière sans source qui semblait émaner de la douceur même et rejoindre très haut l'apaisement de la nuit. Malgré les soldats et les unions ouvrières, au fond des échoppes, les médecins aux crapauds-enseignes, les marchands d'herbes et de sorts, les astrologues, les diseurs de bonne aventure, continuaient leur métiers lunaires, dans la lumière trouble où disparaissaient les tâches de sang. Les ombres se perdaient sur le sol plus qu'elles ne s'y allongeaient, baignées d'une phosphorescence bleuâtre, le passait très loin, quelque part dans les mondes, et dont un seul reflet venait de baigner la terre, luisait faiblement au fond d'une arche énorme que surmontait une pagode rongée de

> lièrre déjà noir. Au-delà, une batallion se perdait dans la nuit accumulée en brouillard au ras du fleuve, au-delà de clochettes, de photographies, et criblé de toute illumination." (LCH, p. 110).

The presence of the weak lights, the shadows, the unknown source of illumination, the foggy haze, and the "phosphoresence bleuâtre," as well as the numerous reference to certain nocturnal professions creates a surrealistic tableau which could well have been one of Goya's own creations.

In Saturn, while insisting on the efficiency of darkness to add mystery and to suggest chaos, Malraux reminds us that "the basis of lithography is not only black but white as well." (S, p. 169). The contrast between black and white to suggest the struggle between chaos and creative forces has been treated above. Malraux adds another dimension of conflict (other than that of color) to the etching technique in observing that etching "involves more uncompromisingly than painting the rivalry which exists between painting and the world." (S, p. 59). Hence the very process of etching involves a struggle for control between the artist, who is attempting to create his own world, and the world of appearance.

Like Goya, Malraux too discovered the dramatic use of white. In his novels, chaos is not only suggested by the darkness motif, the shadows and the "phantom illumination," but also by bright light. According to

Blumenthal, "The void is always rendered by Malraux as a dazzling light." (p. 45). We see this technique in several of his novels. As Perken lies dying in La Voie royale, the "néant" which he is approaching appears as a blinding light:

> Il ne savait plus rien des hommes, plus rien même de la terre qui dévalait sous lui avec les arbres et les bêtes: il ne connaissait plus que cette immensité blanche à force de lumière, cette joie tragique dans laquelle il se perdait, et qu'emplissait peu à peu le sourd battement de son coeur. (LVR, p. 264).

In Les Conquérants the frequent allusions to the intensity of the sun, so bright that it blinds and obscures all, also give an impression of emptiness. In one instance, Malraux describes the "ciel sans couleur à force de lumière." (LC, p. 56).

This technique also reappears several times in La Condition humaine. A shaft of light illuminates Tchen's victim, "ce tas de mouseline blanche" (LCH, p. 7), in the opening scene of the novel. As Tchen throws himself on what he believes to be Chiang Kai-Shek's limousine, he descends into the abyss "dans un globe élouissant." (LCH, p. 190). The same "flash" technique is employed when Hemmelrich returns to his shop to find his wife and child slaughtered. This bloody spectacle, in which those for whom he has lived have been annihilated is rendered by an implacable light: "Rien ne remuait, et

l'immense indifférence du monde s'établissait avec là lumière immobile sur les disques, sur les morts, et sur le sang." (LCH, p. 214). As Katow is led toward his death, a watch-light focuses on him, thus dramatizing the void which he will soon encounter. In this technique, we recall Goya's painting May 3, 1808, in which a brilliant light focuses on those about to be executed. The dramatic nature of the scenes cited above, suggests, as does all true drama a clash between two opposing forces, an encounter with the irremediable, which carries with it all the implications of chaos discussed in Chapter I.

This means of rendering "le néant" takes on new significance in light of a recent study by Dr. Russell Noyes.[7] In his study, Dr. Noyes has examined the reactions of those who have had almost fatal encounters with sudden death. One poet who had narrowly escaped death declared, "A dazzling prismatic effulgence cleared my vision." A nurse reported seeing scenes from her childhood in bright colors. A geologist who had fallen 66 feet from a mountain peak observed, "Everything was transfigured by a heavenly light." Dr. Noyes describes these flashes of light as typical if not universal among those who have come near death. Thus it is perhaps with scientific

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[7]"A Bliss Before Dying?" Newsweek, 6 May, 1974, pp. 63-64.

justification that Malraux expresses the void by a dazzling light.

In conclusion, we may surmise that Malraux and Goya, most often consciously though surely sometimes instinctively, have expressed the threat of chaos by their lighting techniques. Both artists have relied on the traditional "darkness motif" for a stylistic rendering of this theme. Shadows too have been employed by these artists to convey an impression of uncertainty and the encrouchment of unknown and uncontrollable forces which threaten man's stability. Also, a kind of lighting which creates an unearthly atmosphere suggests chaos for it underscores man's alienation and renders him a foreigner in his own domain. When man feels separated from that which he most longs for, he considers himself to be alienated, to have lost the Absolute which he so desperately desires. And it is in this state that chaos again reigns. Finally, an encounter with the irremediable, which summons up all the powers of chaos, is rendered by a brilliant light, a technique which may be scientifically as well as stylistically valid.

CHAPTER III

CHAOS RENDERED STYLISTICALLY--THE MASK

Having established in Chapter II the rivalry which exists between the artist and the universe, we may consider the mask as yet another expression of this rivalry. As Oto Bihalji-Merin concluded in his study of the mask, "The mask's rigid monumentality heightened the significance of the struggle for an equilibrium between man and the divine powers."[1] Another student of the mask, Andreas Lommel, suggests a similar relationship between the mask and chaos with his assertion that primitive art is "an attempt to give shape and form to life."[2] Given these perspectives on the mask, the frequent appearance of the mask in the works of Malraux and Goya becomes more significant.

As we have seen in Chapter I, one result of man's encounter with the chaotic elements of the universe--with the irremediable--is a sense of alienation. Malraux analyzes this sense of alienation in The Voices of Silence:

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[1]Oto Bihalji-Merin, Great Masks, (New York: Harry Abrams, Inc., 1972), p. 75.

[2]Andreas Lommel, Masks: Their Meaning and Function, (New York and Toronto: McGraw Hill, 1972), p. 218.

"From the Renaissance on, the sense of discord, of an irremediable final separation has grown steadily, and with it, the attitude of rebellion and despair." (VS, p. 183). Bihalji-Merin finds a relationship between man's sense of alienation and the phenomenon of the mask and proclaims: "The mask is the oldest symbol of alienation." (p. 7). Thus it is appropriate that both Malraux and Goya use the mask as a means of conveying the sense of alienation which afflicts their own subjects.

For Malraux, one specific source of the alienation characterizing his heroes is a lack of distinct identity. Here the mask comes into play, for as Bihalji-Merin states, the secret of the mask is its "dual identity." (p. 180). Malraux often alludes to the wearer of a mask--and hence to an identity problem--through physiognomical description of his characters. The effect of a swaying lamp, which alternately illuminates and casts a shadow on Kyo's face, artfully accentuates his dual identity.

> A droite, Kyo Gisors; en passant de sa tête, la lampe marqua fortement les coins tombants de sa bouche d'estampe japonaise; en s'éloignant elle déplaca les ombres et ce visage métis parut presque européen. (LCH, p. 14).

When May confesses to him that she has slept with another man, Kyo struggles to avoid the base stereotyping of which he himself has so often been a victim:

> Lui aussi se voyait dans la glace, appuyé sur son coude--si japonais de masque entre ses draps blancs. 'Si seulement je n'étais pas métis' . . . (LCH, p. 42).

Kyo's father, Gisors searching for his own identity, is more conscious of wearing a mask than is his son. Given his affirmation: "Il n'y a pas de connaissance des êtres" (LCH, p. 52), it is inevitable that Gisors mask himself in order to give his life at least the illusion of form. Several passages allude to Gisors' mask. In describing Kyo's resemblance to Gisors, Malraux evokes "le masque d'abbé ascétique du vieux Gisors" (LCH, p. 36). Unmasking Gisors' veneer of scholastic calm, which is in fact achieved only through the use of opium, Malraux submits: "On lui prêtait la patience des bhouddistes: c'était celle des intoxiqués" (LCH, p. 36). When Tchen comes to Gisors on the night of the revolution, Gisors' "masque du templier rasé" (LCH, p. 56) proves itself too superficial to provide sufficient moral support for Tchen, who, in his hour of anguish, penetrates Gisors' mask. Thus Gisors, by donning the mask of the oriental sage, would seem to be attempting to transcend his condition by the same method of the primitive mask wearer which Bihalji-Merin has described in Great Masks--through "invocation and identification" (p. 9). However, Gisors' mask is somewhat less than successful in transcending his sense of anguish, for his mask does not

enter into direct rivalry with the forces which threaten him as did the mask of the primitive man. He is seeking evasion rather than confrontation, which is the true purpose of the mask. Behind Gisors' façade of aloof intellectualism brew disturbing forces with which he cannot cope. Harrassed by these forces, this façade "n'était plus qu'une mince couverture sous quoi s'éveillait, commes des chiens anxieux à la fin du sommeil, l'angoisse et l'obsession de la mort." (LCH, p. 57). The subconscious rumblings which plague Gisors and his struggle to overcome them recall Goya's personal encounter with the forces of chaos, which has inspired so much of his work.

The character of Katow presents still another identity problem. A confusion of identity results first from his turbulent past. Of Russian birth, he was forced to flee his country, having participated in the storming of the Odessa prison. His fluency in French belies his origin--"Réfugié en Suisse . . . il parlait français presque sans accent." (LCH, p. 16). Observing Katow under the same light which has revealed his own dual identity, Kyo notes his friend's physiognomy:

> . . . l'expression de naïveté ironique que les petits yeux et surtout le nez en l'air . . . donnait au visage de Katow, était d'autant plus vive qu'elle s'opposait davantage à ses propres traits . . ." (LCH, p. 16).

Katow's countenance of "naïveté ironique" assumes the nature of a mask, for we are informed that "le visage de Katow n'exprimait jamais ses sentiments." (LCH, p. 18). Thus Katow's physiognomy masks the nobility which he will exhibit as the novel progresses.

The masks of these three men differ in their function. Kyo's mask is an imposed mask--one which hides his nationality and therefore his cultural make up. Gisors' mask, on the other hand, is an acquired one, which attempts to obscure his existential malaise. It resembles the carnival mask, which we will examine later. Katow's mask is also an acquired one, but rather than exposing a calm exterior beneath which are brewing psychological disturbances, Katow's mask of indifference conceals a strength of character and a compassion for humanity which will reveal itself at a crucial moment.

The mask also plays an important role in Goya's creations. His use of the mask, like his lighting techniques, was directed at the destruction of the Italian ideal in art--an ideal which he believed to be no longer valid, for it was based on the "reconciliation between man and God." (S, p. 87). The "rigid monumentality" of the mask offered an effective means whereby to achieve this destruction. Malraux explains precisely how the mask opposes itself to the Italian tradition:

> To touch the spectator by portraying the emotion felt by the subject is one of the rules of baroque aesthetic; in the Caprichos there is little but fantastic shapes for the expression of violent emotions. Scenes of fainting martyrs were in their glory, but Goya's art no longer expresses either the grief or the passion of living beings but rather their nature. The unmoved faces of his women pursued by monsters, the carnival distortion of his monsters themselves, of his gallants, his flirts, his go-betweens, his monks, his witches, all tend towards a masquerade. (S, p. 41).

Caprichos 16, 72, and 75 are illustrative of the "unmoved faces" to which Malraux referred, while any number of plates will illustrate the "carnival distortion" of his subjects which suggests a masquerade.

Two paintings--the Burial of the Sardine and the Madhouse--are also representative of the masquerade atmosphere which abounds in Goya's work. The carnival mood of the Burial of the Sardine is reminiscent of the ancient Roman festival of Saturnalia, in which the existing social order was reversed; slaves became masters and vice versa. Masks were worn, thus enhancing the confusion of identities. Orgies were prevalent. The upheaval of tradition effected by Saturnalia is symbolic of chaos, and the masks particularly recall primitive man's struggle to reconcile himself with the forces which surpassed him.

In the Madhouse, the masks are not of the type which can be put on and removed. Attempting to come to terms with their world, the men in this painting have converted

their entire being into a mask, which makes them appear insane to those whose masks are perhaps more subtle. The occupations and disguises of these committed men provide an interesting psychological study. In analyzing this painting, Guidol notes the "paranoic in a headdress of feathers" who "thinks he is a demi-god."[3] The subject in the military hat would perhaps suggest the stereotype of the neurotic who, in his craving for power, fame or conquest, identifies himself with Napoleon. Given Goya's bitter disillusionment with this French conqueror, he may have intended a more personal satire with this subject. Another figure, possibly motivated by the same drives as the latter subject, has adorned himself with a type of crown and scepter and impersonates a king. To his left, an inmate would seem to represent an official of the church, perhaps conceiving of himself as a saviour or martyr.

Goya also uses the mask motif to suggest man's impenetrability as well as his duality. The sixth entry into the Caprichos coincides in theme with Gisors' philosophy--"Il n'y a pas de connaissance des êtres." In this plate, the masquerade is conjured up by the abundance of figures, some of whom are wearing carnival hats. A young woman, facing her suitor, is wearing a mask.

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[3]José Guidol, Goya, (New York, Harry Abrams, Inc., (no date), p. 106.

The sub-title of this etching, "Nadie se conoce" has various translations: "Nobody knows anybody," "Nobody knows himself," or "No one is knowable." In any case, the message is clarified by the commentary written below the plate:

> The world is a masquerade; face, dress, voice, everything is feigned. Everybody wants to appear as what he is not; everybody deceives and nobody knows anybody.

The difficulty in knowing others further complicates man's struggle with chaos, for it facilitates man's ability to deceive. In many of his drawings, Goya dramatizes man's capacity for deceit. Goya's last entry into the Caprichos, "Dreams of Lying and Inconstancy," portrays the duality which is common to the human race--especially to woman. In this etching, the two double-headed women represent deceitfulness. The figure in the background, his finger over his mouth, seems to be silencing commentary, and thus enhances the atmosphere of deception.

Keeping in mind the inherent duality of the mask, it is feasible that, as well as disguising and confusing identity, the mask may also disclose identity. Bihalji-Merin proposes that "the wearer of the mask unmasks the world around him" (p. 9). Indeed, this was Goya's very motive for resorting to the mask in his works. As Malraux asserts, "Against the naked walls the madman is no longer

a masquerader, he is an accuser" (S, p. 83). Figure 64 of the Madrid Sketchbook provides us with an example of one of these masked accusers. In this plate, a masked woman in flirtatious dress assumes a provocative posture. Lopez-Rey analyzes this plate by observing that this woman "stands for a lewdness such as only a depraved society could attain, and the mask, which provides her with a hardened expression, helps to disclose more than hide her identity" (p. 41). He cites three other figures from the Madrid Sketchbook as indicting the human race for its deceitful ways. In a section entitled "Deceit's Parade," Lopez-Rey notes "the Lawyer," (clothed in bandit's dress), and "A discreet and patient sweetheart," (who affects an angelic air while her gestures betray lustful desires) as examples of deceitfulness. His final example is one aimed at the aristocracy--men who would set themselves above others on the basis of money and social position. In this drawing a "commoner" hurls stones at three asses. The commentary written below the etching describes the unmasking of these aristocrats:

> Recognizing them, the oil vendor shouts, Is that so, and starts beating the masqueraders; they flee crying against the undue lack of respect for what they represent.

In the Capricho "Ya van desplumados" (They are leaving, plucked), Goya attacks the "unfeeling exploitation of man's lecherousness." (Lopez-Rey, p. 118). This plate

pictures two women with brooms chasing away several plucked bird-men. Here Goya exposes both male and female vices. While deploring the prostitution of the female, he cites man's lustfulness as its source. Thus these four examples, three from the Madrid Sketchbook and one from the Caprichos, illustrate Goya's unmasking of society through the exposure of human depravity. The mask that reveals rather than conceals conveys Goya's message that "the world is only appearance." Immediately upon perceiving the mask, the spectator is alerted to the possibility of deceit and may hereby penetrate the mask to decipher the artist's message.

Closely related to, and sometimes inseparable from, the mask is the technique of caricature. Achieved through the exaggeration and deformation of the human features, caricature often suggests the more bestial side of man's nature. Lopez-Rey analyzes the animalistic qualities of caricature as follows:

> Man is shown under different social garb as unable to rise above the beasts' appetites, that is to say, as having achieved a form of society which is governed by passions equal to the irrational impulses which characterize life in the wild. (Lopez-Rey, p. 72).

According to Malraux, "The animal is the baroque aspect of the masquerade." (S, p. 41). Caprichos 37-42 portray teachers, doctors, students, and connaisseurs of music as asses. According to Lopez-Rey, the asses stand not

only for hypocrisy but also for "animal-like stupidity" and "the errors, the vices, and superstitions arising from man's bestiality." (p. 131). In another series of caricatures, also found in The Caprichos, the subjects are reflected in a mirror as animals whose connotations are universal. Their character traits are easily deducible: the monkey, capricious and mocking; the frog, surreptitious and repulsive; the serpent, deceitful and evil; the cat, obtuse and vain. In other entries, the figures have acquired predatory or rodent-like features, as in Capricho 63, whose subjects suggest a bird and a rabbit. These creatures, according to Lopez-Rey, suggest "lasciviousness and stupid glutony" (p. 67). And so Goya, extending the mask into the realm of caricature, continues to expose man's depravity.

Malraux too expands the use of the mask into caricature. It is very likely that he learned from Goya the effectiveness of caricature, a motif which he describes in Saturn as being "a representation in two dimensions . . . an expression of a judgement" (S, p. 35-37). Therefore, Malraux, in resorting to caricature, presents the duality of his characters and thus passes judgement on them. Blumenthal traces his use of caricature to the ancient celebration of Saturnalia, whose power it was "to transform its maskers into corpses or beasts . . ." (p. 39). Thus Malraux's transition from

masquerade to caricature is as natural as it was for Goya.

Malraux imposes caricature at one time or another upon almost all his characters. During Tchen's visit to Gisors, the aging professor is reminded of a picture of a bronze hawk which Kyo had kept out of affection for Tchen--"à cause de la ressemblance." (LCH, pp. 47-48). The hawk, noted for its predatory nature, is an appropriate symbol for Tchen, who has become fascinated with bloodshed and who exhibits an unsatiable hunger for the Absolute.

As in the pen drawing by Goya, in which a man peers into a mirror and sees himself reflected as a frog, Malraux, too, exploits the frog image. The face of Liou-Ti-Yen, a Shanghaï money-lender who profits from the capitalists themselves, displays a frog-like physiognomy. The caricature is also developed in Liou's conversation with Ferral, a European "big" businessman who opposes the imminent revolution:

> Tout le visage était dans la bouche et mâchoires: une énergique vieille grenouille . . .
> . . . . . .
> Liou cracha, la tête dans les épaules. Il ferma les yeux, les rouvrit, regarda Ferral avec l'oeil plissé du vieil usurier de n'importe quel lieu sur terre. (LCH, p. 91-93).

The frog caricature of Liou is possibly due to the frog's ability to blend in with his surroundings just as Liou has learned to mingle with foreign capitalist exploiters.

Another caricature is aimed at Valerie, Ferral's mistress, whose belief in the mask as a means of disguise is without pretense. She assures Ferral that "tout nouveau maquillage, toute nouvelle robe, tout nouvel amant, proposent une nouvelle âme." (LCH, p. 96). Her countenance assumes "l'expression complexe du chat à l'abandon." (LCH, p. 96). The allusion to the cat suggests Valerie's impenetrability as well as her sense of pride.

A second cat caricature appears in the character of the procurer whom Kyo encounters in prison. He is described as "un vieux chat blanc presque sans nez, la moustache pauvre et aux oreilles pointues." (LCH, p. 228). Here, as the setting is in prison, the cat caricature, besides portraying such personal traits as insensitiveness and selfishness, could also allude to a caged animal. This speculation finds support when Malraux cites the unifying characteristic of the Caprichos as "the feeling of subjection." (S, p. 68). Thus caricature, especially as stylized by Goya, is a fitting portrayal of the prisoner's estate.

Also in prison, the long shadows of the inmates moving about give the impression of worms furrowing through the earth. Here, though not necessarily through his own shortcomings, man is reduced to the lowest form of bestiality--a blind creature crawling aimlessly through

the dirt. The humiliation of the prisoner's predicament is also suggested in another caricature--that of the obscure beings "qui grenouillaient derrière les barraux, inquiétants comme les crustacés et les insectes collossaux des rêves de son enfance [celle de Kyo]." (LCH, p. 229). Thus Malraux, like Goya, uses caricature to expose man's hypocrisy as well as to indict the humiliation brought upon him by his fellow man.

Malraux's most brilliant effort in the mask motif is seen in the creation of Clappique, a grotesque clown, who, unable to reckon with the chaotic forces around him, chooses to imitate them. In answer to Kyo's question as to what causes Clappique's suffering, Gisors asserts, "Sa douleur . . . ne touche rien de plus profond que son mensonge ou sa joie; il n'a pas de profondeur." (LCH, p. 37). Thus Clappique's mask is not the mask of the primitive man, which was the product of a profound spiritual experience. Rather, it is a carnival mask, whose only purpose is to disguise. In discussing the carnival mask, Bihalji-Merin states that "the moulder of the masks [carnival] makes no attempt to penetrate as far as the soul." (p. 101). Lacking any depth of character, Clappique is able to declare with reason that he is "le seul homme de Shanghai" qui n'existe pas . . . qui n'existe absolument pas." (LCH, p. 159). Thus the motif of the carnival mask symbolizes Clappique's striving toward non-existence.

According to Bihalji-Merin, the carnival mask which was evolved from the primitive mask is "like a mask of defiance against real life. It creates a type of human being while at the same time deforming and exaggerating and finally cancelling him out" (p. 101). Speaking of Clappique, Gisors says, "Sa mythomanie est un moyen de nier la vie . . . de nier et non pas d'oublier" (LCH, p. 36). Thus, rather than being a vehicle of evasion, Clappique's mask is a studied attempt to defy existence. Blumenthal supports the idea that Clappique represents a "defiance directed against real life" in her analysis of him:

> With this figure, Malraux adds an image of his own to Goya's "the Sleep of Reason Produces Monsters." Clappique, having sided with his demon of destructive despair against all that is human in him . . . is transformed into a mere semblance of a man. (Blumenthal, p. 47).

Clappique's resistance in accepting the human condition also contributes to his failure in becoming a man. Again Gisors senses Clappique's ephemeral being:

> Au-dessus de tout homme est un fond qui peut être touché, et penser à sa souffrance en laisse pressentir la nature. La souffrance de Clappique était indépendante de lui, comme celle d'un enfant; il n'en était pas responsable; elle ne pouvait pas le modifier. Il pouvait cesser d'exister, disparaître dans un vice, dans une monomanie, il ne pouvait pas devenir homme. (LCH, p. 214).

Clappique's lack of self knowledge results in his donning of the mask. Referring to the masks of modern

man, Bihalji-Merin proposes: "It is not the unknown god but the self-unknowing human being who again shapes new masks" (p. 77). As Clappique deals with Kyo over a life-and-death matter, we discover Clappique's "unknowing self." "Très étonné, Clappique se découvrait tout à coup homme de sérieux et de poids. Comme il ne se jugeait jamais responsable de lui-même, il en fut surpris." (LCH, p. 134). Clappique makes a last vain attempt to come to terms with himself, as, faced with the possibility of annihilation, he looks at himself in the mirror. He asks questions of the reflection, and, deforming his features, gives his own response. It seems that he cannot make himself grotesque enough, that he cannot find an ample enough expression of his own self-contempt:

> Il s'approcha encore, le nez touchant la glace; il déforma son masque, bouche ouverte, par une grimace de gargouille . . .
> . . . . . .
> Il transforma son visage, bouche fermée et tirée vers le menton, yeux entrouverts, en samourai de carnaval. Et aussitôt comme si l'angoisse que les paroles ne suffisaient pas à traduire se fût exprimé directement dans toute sa puissance, il commencait à grimacer, se transformant en singe, en idiot, en épouvanté, en type à fluxion, en tous les grotesques que peut exprimer un visage humain. (LCH, p. 210).

The predilection for the grotesque, evident in Clappique, is related to the masquerade, for, as Bihalji-Merin states, "Ugliness takes on significance, and provides the raw material of the great masquerade, the great farce of human

weakness" (p. 101). And so Clappique, the "man who does not exist," ultimately expresses his weakness and his non-being through the grotesque mask formed from his own features.

In his desire to strip himself of all that would make him a "real" person, Clappique is not able to overcome one of the emotions inseparable from the human condition--fear. We are told: "Il était parvenu à échapper à presque tout ce sur quoi les hommes fondent leur vie; amour, famille, travail; non à la peur." (LCH, p. 208). Thus his mask (or masks) is a result of his existential fear--the fear of alienation and of death, a fear which he, unlike Katow and Kyo, is unable to conquer. The relationship between the mask and fear is noted by Bihalji-Merin:

> Where once the individual was seized with primaeval fear in the face of the incomprehensible phenomena of nature, he now finds himself . . . facing the inscrutable pattern of a wider world, and he is filled with an existential fear . . . And the masks have come back. They are, as they were before, uncanny, not through magic and sorcery, but because they represent the emotionless precision of cybernetics and the destructive energy of the primaeval cosmic forces against which man has to protect himself. (Bihalji-Merin, p. 11).

Clappique's mask sometimes borders on caricature. His deformed and grotesque features aid in stripping him of his human qualities. Blumenthal observes that "his many human traits are now only gratuitous vestiges and merely accentuate his monstrosity." (p. 47). His voice

"nasillarde et amere" is suggestive of a donkey, whose personality traits have already been mentioned in this study. Discussing Kama's art with Gisors, Clappique assumes the countenance of a "singe triste et frileux." His monkey face betrays his semi-human character.

The existential fear which grips Clappique suggests the intrinsic relationship between the mask and death. According to Bihalji-Merin, the mask symbolizes both life and death. He explains, "When man puts on a mask, he changes into another being and establishes the link between the living and the dead" (p. 8). According to Gaston Diehl, Goya's art would seem to be an expression of this link:

> At the very heart of his art and his most private inspiration lies a deep conviction of the inevitability of the inexorable duality--the frantic need for present laughter to combat the imminent cessation of delight, the thirst for life and the attraction of death which end by mingling indistinguishably with each other.[4]

The purpose of the mask, especially as it relates to Saturnalia, is to fulfill this dual need. The "need for present laughter" and "the attraction of death" were one of the major features of this ancient Roman festival, where masqueraders frollicked at the same time that human sacrifices were being made. In its dual portrayal of life and death, the mask associates itself with all the implications of chaos. Goya's painting, the Burial of the Sardine (described above), is, with its masqueraders

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[4]Gaston Diehl, Goya, (New York: Crown Publishers, n.d.), p. 32.

making merry at a mock funeral, indicative of the relationship between life and death which the mask conveys.

Goya's masks do not usually, if ever, cover the faces of the dead; rather, by the immobile features of his subjects, he suggests death. This suggestion is perhaps a more powerful means of confronting man with the irremediable, for it insists on the ultimate necessity of his coming to terms with existence. Several of Goya's etchings depict a man, his features motionless, wearing a domino. Malraux explains Goya's particular use of the domino:

> The domino was worn for amusement and for protection from the sun. Goya forgot it after a few plates, and then, when he wanted to fix the features of the living, he rediscovered the true mask, which is nothing but the face of the dead. (S, p. 42).

That the true mask is "the face of the dead" is evident when we recall the primitive masks which "represent the faces of spirits and ancestors" and are a form of coming to terms with death" (Lommel, p. 218).

According to Bihalji-Merin, "Death represents a total transformation of the human face and at the same time it is its only definitive unmasking" (p. 151). In the following citation, he explains the unique nature of the death mask:

> Only in the death mask is the veiled object identical with the veil. Every other mask establishes a relationship between the wearer of the mask and some other creature. Only in the death mask is the deceased himself the wearer of the

> mask and the image in one. (Bihalji-Merin, p. 151).

Several examples of the death mask can be found in La Condition humaine. It is possible that Malraux was alluding to the death mask when he refers to Valerie's sleeping countenance as "d'une tristesse tendre." (LCH, p. 96). This countenance contrasts sharply with the "visage brouillé" of her wakefulness. A more concrete allusion to the death mask is found as May and Kyo engage in an intense argument. May's facial expression assumes that of the death mask:

> Elle avait fermé les yeux et le frémissement de ses épaules, constant, silencieux, semblait, en opposition avec son masque immobile, l'expression même de la détresse humaine . . . Au-dessus des yeux fermés, le mouvement du front s'arrêta, et ce visage tendu dont les paupiéres restaient baissées devint tout à coup un visage de morte.
> . . . . . .
> Il [Kyo] n'avait jamais vu ce masque mortuaire." (LCH, p. 164).

A final allusion to the death mask appears in the scene where Katow awaits his execution. Malraux describes his facial features, which harmonize with those of the death mask:

> . . . bouche entrouverte, lèvres gonflées sous son nez jovial, les yeux presque fermés, mais reliés à lui par l'amitié absolue, sans reticences et sans examen, que donne seule la mort. (LCH, p. 244).

The death masks featured by May and Katow perform the same function as all death masks: "Through simplification of lines and substance, it extinguishes the reflexes

of hope and feelings of mourning, of irony, of desire, lust and rejection." (Bihalji-Merin, p. 157). The tranquility of May and Katow's expressions indicates a complete acceptance to their fates. May's resignation is only momentary, for she survives the night of bloodshed to carry on the communist cause. Katow's, however, anticipates his physical death and therefore indicates that his struggle with chaos has permanently ended. He is, as according to Bihalji-Merin are all wearers of this mask, "superseded by the common decipher of the Absolute." (p. 157).

Thus Malraux and Goya employ the motif of the mask to express man's sense of alienation in his own universe. As primitive masks express man's striving to come to terms with forces which surpassed him--with the irremediable--so do the masks of the subjects of Malraux and Goya express a search for identity in a vast universe of which they are the unpetitioned members. As the primitive mask sometimes assumed animal features, so do Malraux and Goya often give their characters attributes of animals through caricature. This technique is also suggestive of man's dual nature--of his animalistic instincts which oppose his more noble, reasoning qualities. Both artists also use the mask to emphasize the chaotic elements of the universe, for the mask deforms and hides

reality as well as revealing it. Finally, the death mask symbolizes for both Malraux and Goya the end of man's struggle with the forces of chaos. The tranquility of the death mask represents a final reconciliation between man and the universe.

CHAPTER IV

CONCLUSION--CHAOS TRANSCENDED

In this study we have seen how, as artists, Malraux and Goya strive to overcome the tragic surprise of existence. However, the artist is not fully able to transcend the human condition until he has discovered his individual style. For Goya to become an innovator, a "prophet of the irremediable," he had to break away from the Italian style of idealization and spectacle and introduce the forgotten element of the subterranean into the world of man. Malraux explains how engraving led Goya to the discovery of his personal style:

> What had engraving brought him? The end of illusion and seduction: the discovery that man could be taken out of himself by means other than beauty and that the effect of the supernatural lies not in the representation but in its style, and the certainty that the supernatural first, then the human, are less expressible by this specific means in the assumed service of representation than by a representation in the service of a style and of the means employed by that style. (S, p. 82).

Thus the artist must impose his own, human, order upon the universe in order to transcend the human condition. In Les Noyers de l'Altenburg, Vincent Berger echoes this thesis at the colloquium:

> L'homme sait que le monde n'est pas à l'échelle humaine; et il voudrait qu'il le fût. Et lorsque'il le reconstruit, c'est à cette échelle qu'il le reconstruit . . .

> Notre art me paraît une rectification du monde, un moyen d'échapper à la condition l'homme. La confusion capitale me paraît venir de ce qu'on a cru--dans l'idée que nous nous faisons de la tragédie grecque c'est éclatant!--que représenter une fatalité était la subir. Mais non! c'est presque la posséder. Le seul fait de pouvoir la représenter, de la concevoir, la fait échapper au vrai destin, à l'implacable échelle divine; la réduit à l'échelle humaine. Dans ce qu'il a d'essentiel, notre art est une humanisation du monde. (LNA, p. 128).

In humanizing the world, the artist does not give answers to the human situation; rather, he seeks to express it. And it is in this expression that he transcends the condition imposed on him at birth, for he is no longer an ignorant victim of the cosmos but a conscious participant in it. Malraux explains this victory in Saturn:

> . . . however complete subjection may be, however lasting the secret seal of death, the artist does not believe in advance that they are conquerors in the dizzying moment when man takes possession of them by imposing on them his transfiguration. (S, p. 158).

The victory over chaos is not limited to the plastic arts. Kyo and Katow, who impose their philosophy of brotherhood and human dignity upon a world where man has been considered for so long a mere hazard in the universe were artists in their own right. The German soldiers of Les Noyers de l'Altenburg who disobeyed the orders of their commander in order to rescue the Russian soldiers whom they have just assaulted with gas transcend the absurd and arbitrary boundaries of war time to impose their humanitarian values on a world of death and violence.

Garine, Claude, and Perken, on the other hand, reject the society of "the others," and display a general scorn for humanity. Thus they find their political and territorial conquests empty. In their defiance, they have forgotten that the conquest of the forces which transcend man begins with the acceptance of "la condition humaine." They strive to become gods themselves rather than to bring the divine into the realm of the human, as did Malraux and Goya through their art.

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