Symbols in Psychotherapy

Regressive Symbolization

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Symbols In Neurosis

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INTRODUCTION

At times the mechanisms called into play by the symbolizing function fail. This results in faulty symbols, which are central to much psychopathology. As noted in the last chapter the symbols involved in the intense and misleading sense of reality seen in psychoses reflect symbolizations based on ontogenetically early organizations of consciousness. We turn now to the symbols involved in neurotic symptom formation. These reflect failure to master the affect associated with referents. The symbols involved in neurotic processes include the affect porous symbols of true phobia, and the affect laden dream symbols of nightmares and phobic avoidance reactions.

Kubie (1953) noted that " . . . it is the disturbance in the symbolic function itself which characterizes adult human psychopathology in a pathognomonic fashion."(P65) By way of explaination, he added "There is) . . . a clear-cut distinction between psychopathological processes the essence of which consists (on one hand) in the distortion of symbolic functions, and on the other hand those psychopathological processes which arise through the distorting impact of highly charged emotional experiences occurring at an early age, before symbolic processes are established. These latter can . . . also occur as a response to primitive emotional stresses, . . . in preverbal stages of human life, while the capacity for symbolic function still remains similarly limited. Such presymbolic changes leave residual emotional disturbances, which in turn influence the symbolic aspects of all later responses to injury." (p 66)

The Affect Porous Symbols of True Phobia

The manifest symbols produced or chosen as manifest cryptic symbols may be insufficiently displaced to blunt affect (affect porous) or they may carry an inherent discomforting affect of their own (affect laden). Though they can serve to hide meaning by serving as a substitute for a referent, they reveal disquieting affect. An example of an affect porous symbol in which the affect of the referent is preserved in a neutral manifest symbol would be seaweed as symbol, such as occurred in the true phobia

of little Jan (see Unit 1) in which projected feared anger cloaked the highly displaced manifest symbol. These rarely appear earlier than 24 months of age. Examples of manifest symbols, which carry their own affect (affect laden) are shadow, fire and flood as they appear in symbols in art and dreams. Another group of affect laden manifest symbols are big animals, darkness, loneliness, heights and dark places whose linked affects are remnants of persistent early childhood fear. The latter two types of manifest symbols are selected as displaced representations of referents. However, because they carry their own legacy of affects, they fail in the goal of diminishing affect through displacement. Such affect laden symbols are responded to with phobic avoidance reactions. When come upon unexpectedly in nature there is a parallel natural tendency to withdraw.

The neurotic character of a symbol can be detected in the reality testing of the adult subject who knows "It is not real." The presence in consciousness of the rare affect porous or affect laden symbol indicates a pathological breakdown of the symbolizing function. The poor choice of referent reflects either poor levels of displacement or an unfortunate choice of symbol. When the inherent characteristic of a chosen manifest dream symbol is so linked in consciousness to a near physiognomic human response to what Chalfant (1969) has called the "stimulus qualities of the object"[1], a symbol is produced that supports sleep poorly.

Manifest affect porous symbols are the products of a weakness in the symbolizing function's capacity to repress affect completely through insufficient displacement. An example of such an affect porous symbol is the feared symbolic object of the true phobia. Here displacement to representing symbols carry referent bound affect in spite of the fact that the symbol has little resemblance to the referent.

Affect Laden Symbols Become Rare Symbols

This section of the present chapter is devoted to a study of rarely chosen manifest symbols. Most common amongst these are affect laden manifest entities such as shadow, fire, blood, and flood. Emphasis will be placed on shadow as an example of a rare dream symbol.

Aardvarks rarely appear in dreams. Aardvarks rarely appear anywhere. The rarity of Aardvarks in

life makes their rarity in dreams understandable. On the other hand, there are elements of human existence, which are as common as dust, such as laughter, fire and cast shadows. These rarely appear as manifest dream symbols. They are in themselves too tied to the affect that disturbs sleep to serve as substitutes that could preserve sleep. Such symbols may be called rare when they are common in literary forms and life, yet are uncommon in dreams because of their high valence for attracting affect. Such rare symbols have a stimulus quality (See Chalfant 1969 and Freedberg 1989 and Volume 3, Chapter 6.) that calls forth innate or learned affect response in an observer. Such rare symbols arrive in consciousness therefore with affects of their own. These affects are usually unrelated to the referent. This innate charge of affect enhances the possibility that new representation will be weak in its ability to mute the affect of the original referent. This burden of affect impairs a cryptic symbol's effectiveness through undermining its mission. Unwanted, useless and scary, such cryptic symbols dwindle through disuse into rarity. When such symbols do appear in dreams their reinforcement of the affects that symbols are designed to hide makes them fail as sleep preserving dream symbols.

Freud (1916) was the first to theorize about common symbols which rarely appear in dreams". He said, "many symbols which are commonly used elsewhere either appear in dreams " . . . very seldom or not at all" (page 166). He based his explanation for rare symbols on an evolutionary theory of symbolism. Rare symbols were seen by him to be remnants of " . . . an ancient but extinct mode of expression, of which different pieces have survived in different fields one piece only here, another only there, a third perhaps in slightly modified forms in several fields" (page 166).

DeCarvahlo (1972) summed up the concept that there is an ancient universal language of transcendent symbols of which rare symbols persist as remnants. According to this theory " . . . . symbols are not the exclusive property of the dreamer. They are a type of subconscious collective patrimony . . . " (i.e. an hereditary symbol net.) (page 23). Rare symbols can be viewed as evolutionary remnants of an ancient, once rich, but now obsolete, mode of expression. This point of view has not been popular with modern scientific writers. [(Although in this regard see Vanguard (1972, p. 202) and Transcendent Symbols (Unit 1, Chapter 4).] It is not unusual for there to be a symbol with origins less ancient than the primordial ones in Freud and Carvahlo's theory which " . . . having outlived its century, has survived as a mere convention, a form from which the spirit has long since flown." [(See Bayley (1912) "Lost Language of Symbolism" p 23)]

Rare dream symbols and other rare dream phenomena can also be explained on the basis of the psychodynamic characteristics of the manifest dream symbol and of the dreamer. For instance, Grotjahn (1945) called attention to the rare appearance of laughter in dreams. He did not view laughter as an hereditary symbolic dream element. Rather he viewed it as a dynamic element in the dream, with a characteristic typical of rare dream elements. They are in themselves strongly associated with manifest affect.

The Dynamics of Symbolic Distortion in Dreams

Distortion in dreams is a dynamic process that effects two latent elements. These are referent memory contents and their linked affects. As the result of dream distortion, latent memory contents are converted into manifest dream symbols. This is accompanied by diminution in manifest affect. The indicator of success in this process is the degree to which the strength of affects has been modified to achieve the goal of a level of comfort that will preserve sleep.

RARE DREAM SYMBOLS

It is my impression that for many rare dream phenomena, especially rare symbols, their status of rarity is the result of intrinsic characteristics of the manifest form of the symbol itself (i.e. shadows, fire). Their own link to affect impairs their ability to preserve sleep. As a result, these symbols appear to be porous to the affect of their referent. They fail as psychoanalytic symbols. It follows that they would be unable to serve the sleep preserving function of the dream work.

Sarnoff (1972) in discussing the rarity of cast shadows in dreams, (see below) concludes "when the dream work calls forth shadows to use as symbols, their limitations as potential psychoanalytic symbols is manifested in the atavistic characteristic of easy access to latent meaning (page 85)." *Latent meaning is uncovered clinically in this situation by requesting associations to manifest affect rather than to verbal content.* Rare symbols are affect porous. Their appearance in dreams is a manifestations of a regressed symbolizing process. The existence of such dream elements is a manifestation of the symbolization of affects and affect metaphors.

SYMBOLS IN SHADOW

Shadow as an Affect Porous Rare Symbol during Dreaming

We now turn to an in depth study of one rare affect laden symbol, the protagonist, shadow. The choice of an affect laden symbol such as a threatening shadow reflects failure of the symbolizing function. Such failure requires further ego response such as awakening or transmutation of the symbol. This results in a modification of manifest symbolic forms to more comfortable symbols with less valence for attracting affect. Therefore the shadow symbol gives way to a less threatening symbol.

Since dream symbols are selected on the basis of similarities and representability in the visual sphere, shadows, which are ubiquitous would seem to be ideal candidates to become common dream symbols. Such is not the case. Personal inquiry made of experienced therapists has not yet elicited a single dream containing a shadow as a symbol. Nor does the psychiatric literature contain many references to it. Hinsie and Campbell (1960) refer to phobias of "light and shadow effects" (p.557). Their explanations are derived directly from Fenichel (1945) who says, "There are numerous phobias . . . about . . . shadow effects . . . Probably many phobias of darkness or twilight contain memories of primal scenes" (p.206).

In the field of applied Psychoanalysis, there are theories about shadow symbols with little clinical support. For instance Bonaparte (1949) interpreted the shadow in Poe's (1941) story "The Shadow—A Parable" as representing the vengeance of the Oedipal father. Rank (1914), in his psychoanalytic explanation of tales of The Doppelganger (Bonaparte, 1949), assigns to shadows a genetic role in the development of fantasies of double and identical beings. Rank says, "The Primal concept of the double which follows a being must come from the shadow the body casts. This double must very early have become the first image of the soul that would survive the body after death, for when it reclined in sleep or death it lost its shadow and lay sad alone, its soul or its shadow having departed. Thus we talk of the land of shadows" (P.554). Rank does not delineate the characteristics of shadows that distinguish them from other representations of doubles. "For though the double appears as the shadow thrown by a body, an image reflected by a mirror or water, or again, as an identical being, the theme remains basically the same. Bonaparte (1949) summarizes Rank's conclusions (pp.554-555) by relating double themes,

including shadow themes, to the assignment of parts of the personality to separate characters, which occur in literature.

In the area of Jungian, analytic psychology, shadow refers to a structure of the mind rather than to a piece of clinical data. Jung (1964) utilizes shadow in a metaphorical sense to refer to the area of the unconscious mind, which contains the wishes of the "racial archetypes" (p.168).

A reference to a clinically presented protagonist shadow in a dream appears in a book written by Stekel (1935). " . . . (A woman is) climbing a hill . . . leading a little boy by the hand. Behind . . . a shadow seems to follow" (pp.220-221). In the context of the patient's life and associations, Stekel interprets the "shadow" of the dream as a son who would continue the life of her father.

The Shadow in Folklore

In contrast to the situation in the clinical psychoanalytic literature, shadows are commonly discussed in writings on folklore. Frazer (1922) informs us that in the early history of man, shadows held power and were viewed with awe. According to the rules of contiguous magic, what happened to the shadow happened to the man. This connection and subsequently described equations of latent contents with manifest shadows as symbols illustrate the role of symbolic linkages as they guide referents to expression through manifest representations.

"Often (the savage) regards his shadow . . . as his soul, or . . . a vital part of himself, and as such it is necessarily a source of danger to him. For if it is trampled upon, struck, or stabbed, he will feel the injury as if it were done to his person; and if it is detached from him entirely (as he believes it may be) he will die. In the island of Wetar, there are magicians who can make a man ill by stabbing his shadow with a pike or hacking it with a sword." One folk tale tells of a person so powerful he could fly. He was killed by a person who stabbed his shadow, which remained on the ground. There were stones, which contain ghosts. "If a man's shadow falls on these stones, the ghosts will draw his soul from him so that he will die." Such stones were used to protect the doors of lodgings. Friends could enter by giving a name. Foes dared not cross the rock. (Perhaps this describes an early step in the domestication of wild nature.) In China it was considered unwise to permit one's shadow to be enclosed in a coffin. When the cover was

closed people withdrew some distance. "The gravediggers and coffin-bearers attach their shadows firmly to their persons by tying a strip of cloth tightly round their waists . . . . The shadow was regarded as a living part of the man or animal so that injury done to the shadow was felt by the person or animal as if it were done to his body" (pp. 189-192).

Sometimes the shadow of a person to be shunned is shunned as well, for this is a source of danger. Especially to be avoided are mourners, women in general, and mothers-in-law specifically. Peasants of Lebanon think that menstruating women are the cause of many misfortunes. Their shadow causes flowers to wither and trees to perish. Shadow even can arrest the movement of serpents.

Diminution in the size of the shadow is regarded with apprehension, as betokening a corresponding decrease in the vital energy of its owner. In some islands near the Equator, at noon the people stay in the house because by going out a man might lose the shadow of his soul. There is a story of a mighty warrior whose strength waxed and waned with his shadow. He was killed by someone who, learning the secret, attacked him at noon.

There was a practice of burying a person or an animal in the wall of a building, which was being constructed. It was felt that this gave the building a soul. Later the lengths of people's shadows were used instead for this purpose. The person whose shadow was so used was thought to have but 40 days left to live. There were even people who measured, stole, and sold other's shadows for this purpose.

Indonesian Shamans (M.D., 1962, p.159) perform rituals in which the dead returned in the form of shadows to communicate with their descendants. The concept that the shadow is a part of the body and that the body shares the shadow's fate loomed large in primitive times. It can still be found in meanings attributed to shadows in works of literature for children such as Barrie's "Peter Pan".

The Child's Conception of the Shadow

Piaget (1930) provides us with an insight into the developmental stages of the child's concept of the shadow, which provides the source for later intuitive and symbolic interpretations of shadows. Up to five years of age, shadow is seen to be derived from two sources. It can be a substance "emanating from an object, "and it can be a substance "participating with night," At ages six to seven "shadows are believed to

be produced by the object alone." The shadow is a part of the person, as it is in folklore. At this age the child is not able to predict which side a shadow will fall on. At age eight, the shadow is still considered a part of the person; it is seen as an emanation "that forces out the light and which is forced to dispose itself on the side opposite to the source of light" (p. 180). The side that the shadow will be on can be predicted by the child at this age. This rests on the conception that there is a battle between light and shadow. The shadow "goes to the side of darkness, . . . it flees from the day." At age nine, children have a correct conception of the nature of shadow. My own studies have shown a similar progression with a correct conception sometimes occurring as early as the age of six.

Shadow Symbolism in Literature

A review of shadow symbolism in literature reveals a situation unlike that found in the psychoanalytic area. The aspects of shadow used as the link for the establishment of shadows as metaphors and symbols are multiple. Shadows are used to express myriad concepts, affects, and attitudes. There are so many, especially in poetry, that space limitations require that only a few be included by way of illustration.

Shadow as a Symbol of Nothingness

The ephemeral and unsubstantial quality of shadows has provided a bridge through which a symbolic linkage can be established between shadows and that which one wishes to devalue. "He was but a shadow of himself," is a common phrase, which exemplifies this. There is a Hebrew traditional phrase, spoken at times of mourning: "What is a man that you should remember him. He is no more than a shadow that passes." This represents an attempt to deprecate that which when taken at full value would cause much pain. This is seen too in Fitzgerald's translations of a quatrain from the Rubiayat of Omar Khayyam: "For in and out, above, about, below, 'tis nothing but a magic shadow show" (Brown, 1942), and "We are no other than a moving row of magic shadow shapes that come and go." (M.D.,1962). A very important representation of shadow as nothingness occurs in Shakespeare's Macbeth. Macbeth upon learning of Lady Macbeth's death says:

> She should have died hereafter;
> There would have been a time for such a word.

Tomorrow, and tomorrow, and tomorrow,
Creeps in this petty pace from day to day,
To the last syllable of recorded time;
And all our yesterdays have lighted fools
The way to dusty death. Out, out, brief candle!
Life's but a walking shadow, a poor player,
That struts and frets his hour upon the stage,
And then is heard no more: it is a tale
Told by an idiot, full of sound and fury,
Signifying nothing (V, 5, XVII-XVIII)

Coleridge, in his "Lectures on Shakespear" (1888), in referring to the use of shadow symbolism in this passage, says "Alas for Macbeth! Now all is inward with him; he has no more prudential prospective reasonings. His wife, the only being who could have any seat in his affections, dies: he puts on despondency, the final heart armour of the wretched, and would fain thinking every thing shadowy and unsubstantial" (p. 380).

Shadow as a symbol of nothingness is used to invalidate the meanings, importance, and affects of situations, which have strong emotional impact. A threatening situation or object when symbolized as a shadow is rendered less fearsome.

Shadow as Facsimile, or Shadow as Representation of Something Seen or Experienced

Shadows share form with the object, which casts them. In this common element we find a bridge through which a symbolic linkage can be established between shadow and any other characteristic of the object.

Shadow can represent the gentle and the ominous. Dante (1943) in Paradiso Canto I cries, "Oh Power Divine! If thou but lend thy aid So that I may make manifest the Shadow Which that blest realm impressed upon my mind." and David in the psalms speaks of "The valley of the shadow of death." Plato's parable of the cave makes use of shadows as a means of determining the nature of the men they represent. Shadow can also symbolize the gentle and ominous. This potential for multiple representations, which is manifested as a symbol is at the same time its strength and weakness.

The Red Shadow
The Shadow Made Ominous By Coloring It Red

Shadows in reality are gray or black. When colored red, shadow as a symbol in literature conveys horror. The Red Shadow is an ominous symbol, which in varied climes and times denotes a threat of death. Coleridge (1970) the English poet of the nineteenth century, in his 1798 poem, "The Rime of the Ancient Mariner" uses the red shadow as a poetic symbol. When the mariner having seen his shipmates pass through the hands of death, finds himself alone, alive and in the grip of the spirit of "life in death", he gazes at the place where " . . . the ship's huge shadow lay, the charming water burnt away a still and awful red." (p 38, Line 263) . . . "Full many shapes, that shadows were, in crimson colors came. A little distance from the prow these crimson shadows were." (Page 56, Line 480)

Kalidasa, the fifth century Indian poet, in his play "Sakuntala" (translated for European readers in 1789) links red shadows to flesh eating demons.

"When the evening soma-libation has begun, scattered around the altar with its fire, the shadows of flesh-eating demons, red as the summits of the clouds at twilight." (page 42 verse 41)

Reddening Makes Shadow a Symbol of Death

The red shadow is a rare and multicultural, multilocally appearing symbol. The modifying adjective "red" applied to shadows is often used in direct association with death. For instance, Poe (1975) in his short story "The Masque of the Red Death" writes about a group of nobles who sought to avoid a plague by retreating to a secluded castle, where revels filled their days and the pain of others was forgotten. This retreat is shattered by the appearance of a figure, masked and caped and made up to resemble "The Red Death". When the survivors seize the figure within the shadow of a clock, they find they have only mummers garb, uninhabited "by any tangible form."(p 273) One is drawn to reflect on the Hindu god Kala, who is a deification of time, which destroys all.

In an English translation (1980) of the Spanish original "La Vida es Sueno" ("Life is a Dream")

(1985). Calderon's words,

> " . . . Paro sa muerte la trae, pues que sentenciado a muerte llega a mis pies." (p 230)
>
> are rendered as
>
> "Brings it to find his own red death instead.
> Arriving at my feet already condemned . . . "

A literal translation of this line is "When he who brings the sword to win my favour, brings it to find his own death, since (by this sign) he arrives at my feet already condemned."

The placement of the adjective "red" before the word death by the translator implies that the threatening symbolic meaning of the idea of the red death/red shadow symbolic radical was universally understood and available to an English speaking audience in Poe's time. Indeed the red shadow symbol has arrived in the west either arising from a physiognomic universality or a migration of those symbols that occupy the transcendent world view of India. A preoccupation with transcendence occupied Western intellectuals in the mid nineteenth century; led by Ralph Waldo Emerson (1993), saw death preordained by higher forces as a form of transcendence. The red slayer,("If the red Slayer thinks he slays" p 104), of Emerson's poem "Brahma", thinking he slays, values his power over the force of fate. To understand the concept of transcendent fate we need only ponder Krishna's response[2] to Arjuna's dread at the killing of men in battle. Arjuna is told that many deaths come to all men and that he as a slayer is but a tool of some eternal wheel, that in a turning, of its own design, gleans the world of its souls.

The Shadow as a Symbol of Power

A number of characteristics of shadows serve to link them, or their absence, to power. Shadows cannot be turned off. Therefore, those who manage to walk without them are considered to have powerful magic. Vampires don't cast shadows. Neither do men of great magical powers. Sir Walter Scott (1805) tells it thus in "The Lay of the Last Minstrel":

> Men say he changed his mortal frame
> By feat of magic mystery;
> For when in studious mood he paced
> St. Andrews' cloistered hall,
> His form no darkening shadow traced
> Upon the sunny wall! (Canto I, II)

The Expression of Phallic Symbolism Through Shadows

The potential for expanding and shrinking of a shadow provides a link for the expression of phallic symbolism through shadows. Perhaps there is no better example of the shadow as phallus in all literature than in Peter Pan (Barrie, 1911). As you may recall, Peter Pan was a little boy who never wanted to grow up. He lived in Neverland, but occasionally returned to London to snoop about. On one such occasion, he was found in the home of the Darling family by the nurse, a dog named Nana. At the paws of this female, he suffered grievously. "As he leapt at an open window, Nana had closed it quickly, too late to catch him, but his shadow had not had time to get out; slam went the window and snapped it off" (p. 14). This symbolic castration by a window closed by a female (Vagina Dentata fantasy) was responded to by Peter Pan with anxiety and depression. He later returned to the Darling home to seek revenge and his shadow. He found it in a drawer (p. 30). He thought that "when he and his shadow were brought near each other, they would join like drops of water, and when they did not, he was appalled. He tried to stick it on with soap from the bathroom, but that also failed. A shudder passed through Peter and he sat on the floor and cried" (p. 31). Fortunately, in the Darling household there was a ten-year-old girl, Wendy, who came to Peter's aid. She suggested sewing on the shadow. The theme here seems to be that of impotence (loss of shadow) aided by a rhythmic activity on the part of a girl (sewing). The stratagem works, and the draggled, malleable, creased object, once attached, behaves properly, though still a little creased. "Perhaps I should have ironed it," said Wendy . . . but Peter, boylike, was indifferent to appearances and was now jumping about in the wildest glee. He no longer attributed the reattachment and revitalization of his appendage to Wendy but "thought he had attached the shadow himself." His depression disappears. He then thinks of himself as clever. The author describes Peter as cocky. He becomes a cocky Peter when he gets his shadow. "There never was a cockier boy," says Peter. "I can't help crowing . . . when I'm pleased with myself" (p 33). Further confirmation of the shadow-phallus equation in Peter Pan is provided by the concurrent references to his tiny fairy girl companion, Tinker Bell. It is a principle in applied analysis and dream analysis that a given theme may be repeated in modified form in the same work of literature or the same dream. Fears of castration in children are commonly associated with masturbatory urges. It is therefore not surprising that Barrie tells us the following about Peter Pan's trip from Neverland to the Darling home.

Peter had traveled all the way with Tinker Bell in his hand. At first glance, she looked like a light.

"It was not really a light; it made this light by flashing about so quickly, but when it came to rest for a second, you saw it was a fairy, no longer than your hand, but still growing . . . He had carried Tinker Bell part of the way (as they flew), and his hand was still messy with the Fairy Dust" (pp. 29-30).

Shadow as an Indicator of the Presence of Humanity

In the opera "The Woman without a Shadow" (Strauss, R. & von Hofmannsthal, H., 1919), the absence of a shadow is directly related to the inability to feel human emotions and to bear children.

The libretto tells of an Emperor who, while hunting, shoots an animal, which is in reality a being of the spirit world. She takes on human form and marries the Emperor. The Emperor must turn her into a child-bearing woman within 13 months or he will be turned to stone. As a spirit being, she is transparent to the light, casts no shadow and cannot participate in human ways or become a mother. In hopes of saving her husband and remaining with humans, she goes in search of someone to sell her a shadow. She finds a woman who does not want children and is willing to sell her shadow for promised pleasures. The woman's husband threatens the woman's life. The Empress feels compassion for the woman and guilt at what she had hoped to do. The instant she experiences these human feelings, her shadow falls across the ground. The Emperor is drawn toward her by the shadow. "In place of the shadow, appears a golden bridge." They join each other on the bridge. Contained in this theme is the primitive shadow soul concept referred to in the anthropological section above. The symbolic linkage is established through the childhood conception of the unity of the shadow and the object associated with it. When the object changes, there is a change in the shadow.

In The Divine Comedy, Dante (1943) tells us that those who abide in the afterworld cast no shadows. In Purgatorio—Canto 3-Dante and Virgil enter daylight for the first time. Dante sees only his own shadow and fears his companion has left, "and when I saw the shadow on the earth, In front of me alone, I turned aside, Fearing my leader (Virgil) had abandoned me" (p. 69).

Virgil explains that the absence of shadows in beings who can "suffer torments" is one of the unfathomable mysteries. The inhabitants of purgatory are bewildered to see someone amongst them who casts a shadow for the shadow indicates the presence of someone who is yet alive.

Absence of a Shadow as a Sign of Lack of Human Belongingness and Compassion

During the nineteenth century, a series of interrelated literary works were produced dealing with the shadow as a symbol of human belongingness. In each, the shadow is exchanged for power, money, or the gratification of lust. Although on the surface of these works loss of the shadow is equated with selling the soul to the devil, a subtle ethical message parallels the surface tale. A lusting after flesh or money motivates giving up the shadow, an action, which symbolizes a loss of human compassion and the sense of belonging.

Adelbert von Chamisso (1813) wrote about such a shadowless man, Peter Schlemihl. An abstract of the story follows.

While still encumbered with his shadow and seeking his fortune, Peter Schlemihl met a grey-clad man who could draw any needed object, big or small, from his pocket. The grey man pursued Schlemihl asking him for his shadow. Schlemihl agreed to let the grey man take his shadow in exchange for a proffered purse, which would never be empty of gold. Said Schlemihl, "Done! The bargain is made; I give you my shadow for your purse." "He grasped my hand and knelt down behind me, and with wonderful dexterity, I perceived him loosening my shadow from the ground from head to foot; he lifted it up; he rolled it together and folded it, and at last, put it into his pocket." (Figure 1).

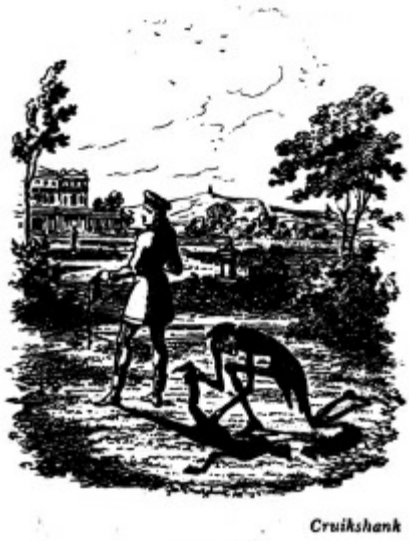

FIGURE 1
Peter Schlemihl Loses His Shadow

When Schlemihl returned to his fellow men he found himself singled out and attacked for being without a shadow. A few compassionate people helped him, but most did not accept him. He withdrew into a mansion, appearing only at twilight. He courted a girl, but she refused him her hand when she discovered that he was a man without a shadow. The grey man reappeared revealing himself to be the devil. He offered to return Schlemihl's shadow in exchange for his signature on a contract by which he would sign over his soul. Schlemihl refused. He cast away the purse through which he could have contacted the devil once more. Now free but shadowless, Schlemihl never fully re-entered the world of men. He acquired seven-league boots and wandered at a rate of movement that freed him of the cycles and frequencies typifying the commerce of ordinary men. Alone, he studied and measured the earth.

Von Chamisso was an expatriate Frenchman who lived from childhood in Germany. With this as background, one can easily interpret Schlemihl as a man set apart by the prejudice usually seen against one who is different. Absence of a shadow could be equated with foreign accent. Chamisso's work

transcended this obvious theme, for Peter Schlemihl's story is also a moral tale. Schlemihl himself equates the absence of the shadow with being "shut out from human society by my early guilt." He learns that human sensitivity is more important than the gratification of lust (p. 122). "Reverence your shadow and thence your money," says Schlemihl after he has learned his lesson.

Thomas Mann (1948) in his essay "Chamisso" reported that many commentators saw "a man without a shadow (as) a man without a country." Mann demurred, saying, "The shadow has become in Peter Schlemihl a symbol of all bourgeois solidity and human belongingness" (p. 257). Exclusion from human belongingness is represented by the loss of the shadow. In place of the shadow, the loser acquires the right to immediate fulfillment of needs without the usually required interposition of subtle skills of acquisition.

The theme of the lost shadow had great appeal to subsequent authors and audiences. Peter Schlemihl was translated into many languages through many editions. Hitzig, a publisher who knew well both von Chamisso and E.T.A. Hoffman, read Peter Schlemihl to Hoffman. As Hitzig (Chamisso, 1813) described the scene, "I shall never forget the hour when I first read it to Hoffman. He was beside himself with delight and eagerness, and hung upon my lips till I got to the end . . . he could not withstand the urge to copy—though not very felicitously—the idea of the lost shadow in the lost Mirror picture of Crasius Spakhn in his tale of the "Last Night of the Year" (p. 12). Mirror images and shadows are often related and equated in folklore, myth, and literature. Hoffman's theme of the mirror picture was not completely based on Chamisso's shadowless man. For a number of years Hoffman had been working on a story of identical people in a context of selling the soul for the gratification of lust. In "The Devil's Elixir," Hoffman (1815-1816) told of the monk Medardus, who is so overwhelmed by the conflicts surrounding his impulses that he writhes in turmoil and his energies decrease. He has been placed in charge of the monastery's relics, one of which is a chalice filed with the devil's elixir. He imbibes the elixir and, feeling a great surge of strength, departs from the monastery. In the world outside, he meets his half-brother who looks exactly like him. Medardus and his double then participate in a series of exotic experiences—murders and episodes of loss of control—single and interchangeably, including one in which Medardus prepares to marry his double's intended, only to have the proceedings interrupted by the appearance of the double, who is clearly insane. As Medardus tries to handle the situation, the madness shifts from his double to himself. Typically, he has changed his identity in the midst of an episode. But what is identity,

inasmuch as they are identical in form? Differentiation can only be seen in the areas of character, emotional stability, and access of violent urges to expression in action. It is in the latter area that the transfers between Medardus and his double take place.

Medardus and Peter Schlemihl are both incomplete. Each is missing a part of himself. When Medardus lacks control, his double has it, and vice versa. Only when both are together are all of the elements of a personality present. Peter Schlemihl loses his shadow when he gratifies his money lust without exercising those personality functions (ego) that would take into account the demands of others, society, and the world of reality. As he draws close to functioning on a primary process level, his shadow is lost. Only if he were to regain his shadow and, with it, the world of human experience, as exemplified in mature ego functions, could he become a complete person.

Similar splits of self into two separate and incomplete units are to be seen in Oscar Wilde's Picture of Dorian Gray and Poe's (1849) "The Oval Portrait." In both, a painting takes on changes in physiognomy that reflect the inner life and experiences of the protagonist.

The interrelationship of the shadow and mirror themes of "Peter Schlemihl" and "The Devil's Elixir" was recognized by Edward Fitzball, who wrote a play called "The Devil's Elixir or The Shadowless Man," which appeared in London in 1829 to excellent reviews. It was a broad comedy, whose importance up to now did not extend beyond the pleasure it gave to its viewers. Fitzball (1829) tells us the following tale:

A monk loves his brother's intended. He is a keeper of reliquaries, including a chalice containing the devil's elixir, which had been offered as a temptation to St. Anthony. He drinks the elixir and loses his soul. After the drink, he looks just like his brother. He "is received with due favor by his (brother's) mistress." As the moment of the nuptials draws nigh, the real bridegroom appears. Which is which? "To tell them apart, a servant, having heard that the votaries of Lucifer have no shadows, contrives that both (brothers) shall pass before his lamp. (The honest brother) has a shadow . . . (the monk has none) (p. 12). "They all look for his shadow, but seeing none, they recoil from him" (p. 29). The bad brother is condemned to die. As in Peter Schlemihl, the devil appears to the shadowless man and offers him the bride if he will ratify the contract that sells his soul. He consents and is about to marry when he finds that

his brother identical to him physically is to die a sorcerer's death in his place. He reveals his true identity and saves his brother's life. Both are spared. When the devil comes to claim the soul of the monk, he goes to the church for sanctuary. Because it is Halloween, no demon may approach the church. The devil is struck by a thunderbolt, the monk repents, and they live happily ever after.

In 1876, Offenbach began to set to music a libretto by Jules Barbier. The opera that resulted was Tales of Hoffmann". In the second of the tales, a demonesque figure, Dapertutto, persuades Giuletta, a seductress, to capture Hoffmann's reflection in her mirror for him just as she had already deprived another character in the opera, Schlemihl, of his shadow. Then both Hoffmann and Schlemihl battle for the key to her room. Surrendering wisdom to the service of lust, they duel. The man without a reflection kills the man without a shadow. He seizes the key only to find that the woman has gone off with someone else.

In these works, the absence of a shadow symbolizes impulsiveness and gratification on demand. Achieving gratification of the wish for wealth and physical pleasures without the interposition of effort and delay is akin to primary process. Insanity and murder are even more akin to primary process. Closeness to primary process makes the man without a shadow an unsubtle being in a subtle world. Like a stranger in a strange land, he thinks in motives and phrases that are incomprehensible to those around him. He is excluded, misunderstood and alienated from "human belongingness." It is striking that in dreams, where psychic events dominated by the primary process and containing so much that is foreign to waking thoughts are present, there are rarely shadows.

The meaning of the loss of the shadow in the tale of Peter Schlemihl and those stories inspired by it are reinforced by a variation, Hans Christian Andersen's (1932) tale of "The Shadow," which he wrote in 1886. As the story begins a learned man living in the tropics notes the marked changes that occur in the length of his shadow during the course of a day. One evening, he notices that his shadow is the only "living thing" on the wall of a seemingly empty house across the way. He tells his shadow to enter the house and look around. He nods his head and his shadow does likewise. When he enters his house the now liberated shadow, in parallel motion, enters the house across the street. The learned man does not learn of his loss until the next morning. Saddened he becomes sadder still when he realizes that he cannot write of his adventure because "there is [already] a story of a man without a shadow." He is

comforted, however, by the fact that within a week a new shadow has begun to grow. After his return to Europe, the learned man is visited by his first shadow, who while casting no shadow has become his own master. The old shadow lords it over the new shadow. He insists that the learned man refer to him as "you" rather than "thou". The learned man wants to write of truth and nature. He fares poorly. The old shadow wanders the earth secretly listening to people and using the knowledge he acquires for his own gain. He grows to resemble a rich and fat human, but he grows no shadow. He approaches the learned man and offers to take him with him and to care for him in exchange for a promise to tell everyone that he is his shadow's shadow. The learned man refuses this request, which he feels is too strong. Later, the old shadow takes the learned man to a watering place without the proviso that the learned man be his shadow. All that the shadow requests is that he be permitted to call the learned man "thou," while the learned man continues to call him "you." The old shadow meets a Princess who suffers from the malady of seeing too much. She recognizes that the old shadow has no shadow of his own. He tells her that he has no ordinary shadow. "There is my shadow," says he, pointing toward the learned man. The Princess is amazed at all that the old shadow knows, about private things in her kingdom. He had visited there during his travels. They arrange to marry. The Princess, the old shadow, and the learned man go to her kingdom. Once each year, the Princess and her consort must greet her subjects in the open air. To carry out this chore, the old shadow needs a shadow of his own. He offers the learned man wealth, comfort, and the freedom of his castle in exchange for a simple act. "Once each year when the Princess and I sit in daylight and greet her subjects, thou wilt lie at my feet as my shadow." This is too strong for the learned man. He threatens to reveal all to the Princess and to her people. The old shadow has the learned man thrown into prison telling the Princess that "his shadow" thinks he is a real person. The Princess suggests that what little humanity "his shadow" has should be extinguished, for he uses it to bring himself pain. At the wedding of the Princess and the old Shadow, the clarion calls, bells ring, marchers shout, but the learned man hears nothing, for he had been put to death.

The man who lost his shadow and was able to grow a new one is learned and fails to prosper under a regimen of life, which contains probity and trying to write of that which is true. His lost shadow waxing fat and rich becomes a shadowless being who demonstrates no concern for ethics. In these tales the absence of a shadow denotes loss of capacity for delay on the part of the loser of the shadow. In Andersen's story, "The Shadow", the personality is split. At first probity goes to the loser of the shadow,

and ruthlessness to the lost shadow. There is soon a return to the core symbolism of lost shadows. The learned man grows a new shadow. The former shadow on the other hand can achieve all human functions save one. Ruthless, he cannot cast a shadow.

The Shadow Without a Man

As will be seen in the shadow dream section of this chapter, shadows at first appear in dreams unaccompanied. Soon after the object, which cast the shadow becomes manifest. It is followed by its latent meaning. For this reason, one form of the appearance of shadows in literature becomes pertinent. This is the form in which the shadow appears under the mysterious circumstance that there is no one to cast it. Three examples follow.

Chamisso (1813) in Peter Schlemihl, tells of a time when the man without a shadow rests for a moment (p.78). Desolate and alone, he ponders his fate. He notices, to his surprise, another man's shadow wandering about alone. It had apparently strayed from its owner. He chases after it, hoping that if he can plant his feet where the errant shadow's feet stand, he will gain it as his own. The shadow speeds away toward a nearby wood where it would most certainly be lost amongst kindred shadows in the forest. Schlemihl catches up only to collide with an invisible person standing in the footsteps of the shadow. The impact of the meeting causes the invisible one to lose the amulet that had given him his powers. Schlemihl seizes the amulet and is now both invisible and without a shadow. The formerly invisible one is revealed to be the gray man (the devil). Schlemihl then begins to negotiate once more for the return of his shadow.

Poe (191) in the story "Ligeia" tells of a man who loved Ligeia, a woman with strange powers. Ligeia dies, and he marries another. His new wife soon falls ill. As she lies dying, the man feels "that some palpable, although invisible, object had passed lightly by my person, and I saw that there lay upon the golden carpet, a faint indefinite shadow of angelic aspect—such as might be fancied for the shadow of a shade" (p. 176). Drops of a red fluid fall from the air into his wife's cup. She drinks, and falls into a state like death, only to be resurrected with the height and "the full and the black and the wild eyes . . . of Ligeia" (p. 179).

In a brief tale "The Shadow—A Parable," Poe (1941) tells of a group of men who have lost a dear companion to death during a plague. The men have gathered to mourn him where he lies in state. He seems to stare at them. They drink purple wine, which reminds them of blood. "And lo! from among those subtle draperies . . . there came forth a dark and undefined shadow . . . it, at length, rested in full view upon the surface of the door of brass . . . " The shadow is commanded to speak, and it answers, "I am Shadow, and my dwelling is near to the catacombs of Ptolemais, and hard by those dim plains of Helusion which border upon the foul charonion canal." The mourners start in fright, for "the tones of the voice of the shadow were not the tones of any one being (but) the well remembered and familiar accents of many thousand departed friends" (p. 182).

In each of these stories an isolated shadow appears, the shadow without a man. In each case, that which the shadow represents is then revealed. The shadow has value in setting an ominous mood; once the mood is set the amorphous unrevealing shadow must be explained or the story becomes mired in ominousness. In shadow dreams presented during analysis, a similar chain of events occurs. The shadow in dreams quickly gives way to the object that cast it. Artistic creativity and the dream work at times share similar methods of dealing with shadow symbols.

The Shadow in Art

The world of plastic art shares with dreams the visual representation of themes and emotions. For the most part in such art, shadows have been noticed but uncourted. Even the use of shading as a technical device was shunned early on.

Leonardo Da Vinci explained the origin of the first picture thus: "The first picture was of only one line, which circumscribed the shadow of a man cast by the sun on a wall." Whether or not Leonardo was right, we cannot say. The earliest known drawings of men depicted figures, which cast no shadow and which used neither shadings nor shadow to express molding and three-dimensional form. Leroi-Gourhan (1967) reports the earliest examples of molding through shading in Western art in the Middle Magdelanean period (13,000-10,000 B.C.). He says " . . . the painted animals are rendered three dimensionally by . . . the interplay of downstrokes and upstrokes (cross hatchings); these are completed with areas of flat color" (p. 211). Molding is achieved by flat color highlights surrounded by a series of

short parallel lines, which represent shaded areas. Bernal (1958) tells us that in non-Western art, amongst the finest paintings of the Mayan Indians of Central America, " . . . the artists were unfamiliar with the use of shade and chiaroscuro to produce effects of light (modeling and three dimensional effects), the paint was either reinforced or else diluted" (p. 17). In Western art, the use of cross hatching to depict shading dwindled and ceased after 10,000 B.C. Shading did not appear again for over 8,000 years. Woldering (1963) has published an illustration (p. 113) of a mural from the Amarna period in Egypt (circa 1350), in which molding through shading is effected using the technique of color dilution. This was one of the artistic innovations that characterized the Amarna period, one of whose artistic tasks was "to represent human beings in a manner true to life" (p. 169). After the death of Akhnaton, who had led Ancient Egypt in this break with traditional art forms, his achievements were erased. Shading disappeared from Egyptian art.

One thousand years later (500-300 B.C.) in Ancient Greece, according to Gombrich (1960), the writers of narratives increased their scope to include, in addition to the presentation of "history and reality," the creation of an imaginative realm with "realistic elements" in the narrative (p. 138). This encouraged artists to represent reality and mood. The objects depicted were no longer meant to awe by dint of their importance as historical characters, but because through their realistic representation they could serve as an object with which the viewer could identify. The representation of natural postures, veins, and muscle groups were introduced. Schoder (1965) tells us that "Apollodorus introduced more realism by shading, chiaroscuro technique, and subtle tonalities of color" (p. 9). Gombrich (1969) quotes Pliny (p. 11) to the effect that "the painter Nicias was concerned with light and shade." By the 4th Century B.C., the "Greek Revolution" in art (p. 127) had culminated in representational art with full shadow effects for moldings of faces and draperies. Although no painting of this period remains, copies in mosaic exist in the restored cities of Ancient Rome. In some of these works, the subjects cast shadows. In a "Mythological Landscape from the Odyssey" (Webster, 1967) shadows are seen which serve to "tack" the feet to the ground. This also appears in "The Victory of Alexander Over Darius" by Philoxenus (Schoder 1965), p. 77). Dioskourides in 100 B.C. copied in mosaic a Greek painting for a Roman wall in which each player in a "Scene from a Comedy" (Schoder, 1965, p. 76) casts a full shadow. Man as the measure of all things had motivated realistic representation in Greek art. By 100 A.D., Roman Imperial ceremony and the divine revelations of the monotheistic religions of the East, which replaced man as

man's focus, began to turn the attentions of artist and art viewer alike from natural toward stereotypic representation. Flat figures became more and more common. In fine works, folds in drapery and molding of faces were depicted through the use of shading and cast shadows disappeared into the twilight that ushered in the "Dark Ages" for Western Art.

Something of the role of shadows in art as defining characteristics in the evolution of culture and its style was descried by Spengler (1926) when he noted that "The painting that defines the individual body by contours is Apollonian (related to the individual figure), that which forms space by means of light and shade is Faustian (referring to space and scientific method as a means of defining truth) this is the difference between the fresco of Polygnotus and the oil painting of Rembrandt." (P 183)

Only in the early fifteenth century did shadows return to art, when the Limbourg Brothers introduced cast shadows into paintings. According to Millard Meiss (1969), it was in their "October" (circa 1415) of the "Tres Riches Heures of Jean, Duke of Berry" that representations of shadows reappear in Western art. Gradually after this time, fine line representational art incorporated solid shadows. By the end of the fourteenth century, shadow representations in art had developed subtle variations in coloration. Nicodemi (1938) tells us that Leonardo Da Vinci incorporated much germane information in his "Treatise on Painting." For instance, Leonardo (1956) said, "The shadow of white seen in the sun and air tends to be blue."

Only during the seventeenth century, according to Swillens (Kramer, 1970), did Northern Europe achieve this level. Through the works of Vermeer, notice was given to the variability of shadows in subtle variations in coloration and intensity dependent upon the surroundings and the nature and the strength of light. Thenceforth representational paintings showed evidences of this advance. This reached its highest point in the paintings of the French academicians such as Gerome.

Notes

1 See also Freedberg, D. (1989) "The Power of Images" and Vol III, Section B, Symbol Phylogenesis.

2 Bhagavad Gita

Figure 2

"Flight and Pursuit"

Courtesy of the Boston Museum of Fine Arts William Rimmer

To my knowledge, only rarely does a shadow take a symbolic role in painting. One example is "Flight and Pursuit" (Figure 2) by the American artist William Rimmer (1816-1879). In other paintings, shadows appear only to set a mood or more often, to provide an element in the artist's search for perfection in realistic representation.

In "Flight and Pursuit," a man is running, his dark shadow falling before him. In the background, a transparent figure completely matches in form the posture of the pursued. The transparent figure casts a lighter shadow than any other object in the picture. He aims his bow at the pursued. In the right foreground, the shadow of another pursuer (or two? The shadow is split) appears. The effect is frightening.

Flexner (1962) tells us that Rimmer gave "Flight and Pursuit" a variant title." He called it "On the Horns of the Altar." I suggest that the variant title links the picture to the biblical story of Adonijah, son of David and Haggith (II Samuel III:4).

As David lay dying, Adonijah gathered men around him and usurped the throne that was justly Solomon's. Bathsheba had arranged for Solomon, a younger brother, to be declared king by David.

Adonijah's followers deserted him, "and Adonijah feared because of Solomon and arose and went, and caught hold on the horns of the altar" (I Kings 1:50) "and it was told Solomon, saying, Behold Adonijah feareth King Solomon, for lo, he hath caught hold on the horns of the altar, saying, Let King Solomon swear unto me today that he will not slay his servant with a sword" (I Kings I:49). Solomon permitted Adonijah to go forth to his house safely, but threatened him with death if wickedness were found in him. Adonijah soon behaved in a manner that awakened suspicion within the heart of Solomon. His death was ordered. His ally during the attempt at a coup d'etat, Joab, hearing tidings of the death of Adonijah (I Kings II:28) "fled into the tabernacles of the Lord and caught hold on the horns of the altar."

To catch hold of the altar's horns meant to seek sanctuary, sure protection from one's enemies. Hertz (1963), speaking of biblical times, says "the fugitive, . . . obtained safety by seizing hold of the altar horns" (p. 350). There were actual horns on Old Testament altars. In Exodus, instructions for the making of an altar include "and thou shalt make the horns of it upon the four corners thereof" (XXVII:2). The word for horn in Hebrew is the same as the word for awe, sanctity, and hold radiance. Placing horns on the altar imparted to it those qualities. The origin of assigning this value to horns may be found in Egyptian Hieroglyphics. Cirlot (1962) points out that "In (the Egyptian) system of hieroglyphics, the sign of the horn indicates 'what is above the head' . . . The relevant Egyptian hieroglyphic also enters into composite words signifying elevation, prestige, glory" (p. 194).

The Hebrew word for horns is keren. Figuratively, the word means awe. When Moses came down from Mt. Sinai, the beams, which emanated from his head, were called keren. When translated figuratively, the word keren provides Moses with a holy awe. When translated literally, the word keren places horns upon his head, as may be seen in Michelangelo's statue of Moses. In like manner, Adonijah grasped both ritual structures and the sanctuary of the Lord when he caught hold on the horns of the altar.

There is a strong parallel between the story of Adonijah and the incredible circumstances of the personal life of William Rimmer. On the surface Rimmer was a teacher, artist, sculptor, and practicing physician in mid nineteenth-century America. Flexner (1962) tells us that Rimmer's father believed himself to be the dauphin, the lawful heir to the French throne. Rimmer was given special education to prepare him for the day when his family were to regain their throne. However, because Rimmer's father

believed that Louis XVIII was a brother who had usurped his throne, the family felt the need to hide from Louis' assassins. Hunter and the hunted, usurper and usurped, killer and he who may be about to die, Rimmer has portrayed them all in "Flight and Pursuit—On the Horns of the Altar." Interestingly, assigning a story to the painting does not diminish the impact and import of the shadows. As in the dreams to be presented below, the Oedipal theme is strong. The urge to usurp what is another's and attendant guilt and fear are clearly to be seen.

"Flight and Pursuit" is an exceptional painting. It contains a protagonist shadow. As such, its contents suggest an explanation for the paucity of shadows in visual representations. Though at times shadows are too prosaic to be included, a shadow as a protagonist is strong stuff. It is so amorphous; it can represent so many things; it invites the viewer to displace affects onto it. Misinterpretation on the part of the viewer can intrude. Without the benefit of verbal modifiers or explanations, the appearance of a shadow in visual representations expresses something ominous and threatening.

There are many static shadows in isolation in the works of Georgio de Chirico. He sometimes painted scenes in which long shadows revealed a late time of day. Krystal (1965) has written extensively about the psychoanalytic implications of de Chirico's work. During the course of the artist's career, figures were replaced by shadows (p.223) and then by mannequins. Shadows helped to convey the themes of "departure, melancholy, strangeness and emptiness (p. 215). They served also as displaced representations of objects during a time when the artist suffered from an illness (See Unit 3, Section C, Chapter 7) that made objects in their direct form difficult to deal with. The ominousness of the shadow made it a poor symbol in the service of defense. As De Chirico's illness progressed, the shadows disappeared from his art, and he found another way to deal with his anxiety. He "relinquished fantasy objects, (developed) loosening of associations, (and) his paintings lost appeal for viewers" (p. 225). A parallel situation occurs when shadows are used as symbols in dreams. Shadows in dreams do not serve to bind anxiety or to provide stable complexes. The most important characteristic of a psychoanalytic symbol is its ability to mask and to hide. To be effective in doing this, a symbol must have at least two characteristics: it must have something in common with the referent to provide a logical connecting link and it must be sufficiently different from the referent to mask the fact that it represents the object. That which would be hidden is revealed. In terms of these requirements, shadow fails as a symbol. Through the link of form, shadow can represent anything. Potentially hidden meanings can be revealed. This is

more than a rhetorical insight. In most cases shadows in dreams are transient; Appearing at first as discrete dream elements, each quickly turns into the fearful object it originally represented in occult form.

Shadows as Dream Symbols during Psychoanalysis

In my clinical experience, three patients (males in analysis) have introduced shadow symbols during the course of their treatment. No attempt was made on my part to introduce shadow symbols. Two of the patients introduced shadows before my interest was involved in this study. The other had had repeated dreams containing shadows for many years before the analysis began.

What follows are four dreams from three patients in which shadows appear in the manifest content. The striking thing about three of these dreams is that both context and latent content are similar to the painting by Rimmer: a shadow is an attacker. In each dream a shadow appears as the first dream representation of a dangerous object (a raven, a fist, the dreamer). In each dream, the shadow disappears from the dream and the latent content becomes manifest. This is an example of a transmutation in symbol formation.

Dreams, which contain cryptic symbols, are created when the dream work transmutes a fantasy occurring in sleep into a form, which will not disturb sleep. When a fantasy element is so threatening that it would disturb sleep, it is the job of the dream work to find a substitute image to represent the disturbing element. The substitute image (manifest dream element) must be able to express the intent of the original element while masking the full affect associated with the meaning of its referent. Shadows represent, but they fail to dampen affect. They carry a disturbing affect of their own. Hence, they do not help preserve sleep. Shadows are visual symbols. They do not have the benefit of being able to be modified by limiting and identifying modifiers, as is possible with the spoken or written word. Instead, all the things that a shadow can represent or resemble come with it into consciousness as a legacy from the referent. “Shadow” cannot offer an affect free object upon which a displacement can settle. Latent or affect laden content comes through in the dream. As such, visual representations of shadows do not function adequately as manifest dream elements, and fail as dream symbols. It is not surprising, therefore, that the patients with shadow dream symbols all described their dreams as anxiety dreams,

and that additional substitute representations were generated to replace them.

Dream 1

L.J. was 12 years old at the time of this dream. Although often punished by his father, he was unchanged in his wayward behavior, which included thefts, lying, poor school performance and disobedience of parental commands. He was often beaten and ridiculed by his schoolmates. In spite of this, he persisted in seeking out the attention and winning the approval of the worst of his persecutors. He began the session in which the dream appeared with a report of a recent episode of degradation that had caused him to forswear the relationship.

His friend invited him to join a group. When my patient spoke, his friend said, "Who asked you to talk? Get out." I asked him how he felt. He was reticent to speak out, but finally cursed his friend. He decided to resolve the problem by discontinuing his acquaintance with him. He became delighted, seeing himself as cured and the analysis nearing an end.

I pointed out that he has proven that he can have buddies and have a good time without being hurt as happened with his friend but that he has thoughts and fantasies about being hurt unrelated to this particular friend. The problem is not with the friend but within himself. He dwelled upon this idea and said that as a prime example of this problem he continues to dream about punishment.

He then told the following dream:

> This is a horror dream. I dreamt that I went up skiing. I was about twenty. I went up on the throughway. I was going up alone. It was ten at night. It was a cold night. There was much snow. There was this place. An old lady ran it. I saw a shadow on the house. I saw a raven up there cawing. A dark night. I was a little scared. I walked up to the door. I saw a lady at the window rocking, a real old lady with her hair down in bangs. Real messy. I said frightfully slowly, "Have you a room? She said, "We only have one with girls in it. Oh, wait, we do have a guest room." As I went in, it was very dark, very. There was the shadow of the trees. I saw the shadow of the raven again. All of a sudden, the raven came on my shoulder, just about to bite me. I hit it. Then it flew out. The old lady was there. She had guards all around with machetes. There were many killings. I asked for a machete. The raven came back with a teeny alligator. The guard called him a killer raven. I didn't have the machete yet. The alligator grew bigger and bigger. I got a rusty sword. Then I got a machete and chopped off the head of the alligator. The raven killed a girl. Then the machete broke on the raven's back. I killed it with my hand, strangled it. Then the old lady turned into a beautiful young girl. Then I walked over to the girl to see the bit girl. I made the girl a drink of antitoxin. The guards disappeared and the house turned into a beautiful building.

Dream 2

Mr. J.J.L. was a 35-year-old man employed in a hospital where his activities required some knowledge of a participation in psychotherapies. He had been married twice. He had no children. His first marriage was to a promiscuous woman whom he wished to "save." His second marriage was to a more naive individual who insisted that her mother live with them. Both she and her mother spent a good deal of time teasing him and joined in making fun of him. He tended to dramatics and lived in constant fear of excessive punishment for exaggerated wrong doing on his part.

He dreamed he was walking down the street and all he saw was a shadow, "a hand was raised to clobber me on the head. I ducked and missed the full force of the blow. I woke up and felt a tight feeling in my head." (He became silent, and I asked for associations to the dream.)

A dark lonely street—flash, I see the shadow of an arm and a stick raised in the street—I ducked in time so I wasn't hit so hard—I saw a show—man hit on the head—amnesia—I had a thrust of fear—woke up—my head was like a shade flapping. (I asked for associations to the shadow.)

"Looming, warning. If I didn't see it, I would have got clobbered, just a big, big, on the floor—don't think too big—head, hooded, an arm and a stick—a brief flash and that was it."

He expressed concern over being hit over the head by his mother whom he hadn't called for a considerable period of time.

Dream 3

A.D., a 22-year-old man, had come to analysis at the insistence of the court, following an arrest for exhibitionism, which he had done since he was 14. Although a college graduate, he worked as a bottle washer in a laboratory. He was impotent and spent all he earned on food and alcohol. He weighed 260 pounds. By the time of this dream, he was no longer impotent nor was he exhibiting. He had moved away from home and was living in a neighborhood with a high crime rate. This is how he told the dream:

> I called home. My father talked in a whisper—"Mother is in trouble." There's a burglar in the house I tried to reach the police in Nassau (County) and I woke up (His immediate associations follow.)

> I was the intruder—a shadow—a force—I remember a story of a person whose id becomes so strong it becomes an evil force. I knew something was there with my father—it was I. I was in both rooms at the same time. My father hung up and I became very frantic. It was as though I was in two places at the same time. It was the oddest sensation.

In all three dreams, a shadow appears. In all three dreams, the latent content for which the shadow had been a symbol came quickly to the surface. In the first dream, the ominous shadow gives way to the killer raven. By the end of the dream, it is the patient himself who is killing. In the second dream, the shadow first appears as a warning. Then the patient is hit by the person whose shadow has preceded him in the dream. In his associations, the patient can relate the latent identity of the person who wishes to strike him to his mother. In the third dream, the first conscious dream element is a robber. The dreamer recognizes this as really a shadow. The displacement to the robber is lost. The displacement to the shadow symbol becomes manifest. Because the shadow symbol disguises poorly, he recognizes himself as the source of the move toward his mother and must awaken.

In visual representations, a shadow symbol is amorphous and thus cannot easily be held to a specific meaning masking latent content. In each dream, the shadow symbol appeared as a single element in a series of symbols related to the same idiosyncratic latent contents. As time went on, a progression through the symbol series took place. Anxiety and, frequently, disturbance of sleep accompanied this transition. Because of its undifferentiated formal qualities, and the effects inherent in the sight of any shadow, the shadow lends itself to representation of hostility or guilt. Clinically, the shadow symbols give way to the appearance of the latent content in the dream and/or in the associations. Psychoanalytic symbols in adults do not classically surrender their meanings easily. In comparison to the strong boundaries between dream symbol meanings and awareness that one finds with the usual dream symbols, shadow boundaries are fragile. When shadows appear as psychoanalytic symbols in the dreams of adults, there is a potential for easy access to underlying meanings. Piaget (1946) has described the stage in human development (15 months to four years) during which all symbols share this potential. This exceptional characteristic of shadows provides us with an insight into the workings of the symbolizing function in the young child. In adulthood, when the dream work calls forth shadows to use as symbols, their limitations as potential psychoanalytic symbols is manifested in the atavistic characteristic of easy access to latent meaning. The activity of a symbolizing function appropriate to a more immature stage of development persists in the adult in relation to shadows as dream symbols (see

Sarnoff, 1970).

Is there a universal meaning to shadow symbols? Although primal scene (shadowy images of parental intercourse) elements appear in these dreams, I doubt that this is a basic meaning. All three patients were involved with severe sadomasochistic relationships. In all three dreams the shadow was related to threatening and endangering situations involving primary objects. In the last two, the mother is clearly designated. In the first, in light of his history, the young girl who is endangered could be the mother. During masturbation, he repeatedly lost his erection when the young girl, whom he envisioned in his fantasies, turned into his mother. In these patients, the shadow symbol represents an aggressive threatening feeling, either active or passive, within the context of a severe sadomasochistic relationship with the mother.

Dream 4

The fourth dream also comes from A.D.

At the time of the dream he no longer had an urge to exhibit. The analysis of the dream related directly to the relief of his impotence.

Dream four contains shadow symbolism familiar to us from literature and the concepts of children. The shadow is a representation of the person who casts it. It was common for A.D. to use the word shadow metaphorically. For instance, he once said, "I present myself as a shadow of what I am. It's what they expect. I do it to make them like me."

He reported the dream as follows:

> I had a nightmare. I went to sleep in this dream. I woke up in a motel room. I was sleeping on the wood of a special bed. It was a curved room with a big pole in the middle. One corner of the room had light. My part was completely dark. The floor was shiny. It was a museum I was in. Around the room was armor like at the Metropolitan. I woke up and realized that I was alone. I looked and saw all the things I've been telling you about. I must have fallen asleep in a museum. I thought of robbers. I thought of dogs. I felt alone. I tried to cry, "Ma", but I couldn't say anything. Then I cried, "Ma." The first thing I noticed was that my head wasn't covered. (The patient usually sleeps with his head covered.) The dream had included other people, but I was alone. I felt that I had been there before and that this was a replay of something that had happened before, in my life. I woke up. My mother came running into my room and turned on a light.

In associating to the dream he said, “In the dream something was coming toward me. I didn’t know what it was—something from behind. Closing in on me. It was necessary to scream. I didn’t see anything. I was all alone, but I had to scream. As a child I had nightmares.” “It wasn’t really a bed. It was an exhibit in a museum. All I had was a thin sheet, not a cover. When I lived in Brooklyn, I couldn’t sleep without a cover on my head.”

I asked him to associate to calling “Ma.” “I’ve always been afraid to be left alone because of a fear of the dark. Exhibiting gave me a basis for contact with other people. I didn’t start exhibiting until I became alienated from my parents. Even now, I don’t like staying alone. I don’t fear exhibiting anymore but I feel strange. I won’t ever forget to lock the front door. Even if I am alone, I put a chair against the door. As a child, I slept with baseball bats for protection. It’s funny how the one condition I’m afraid of, loneliness, I set up.” I pointed out that the loneliness he creates in the dream gave him a reason to call his mother and thus draw her closer to him. He said, “It was like Freud’s dream, in the movie, where he went into the cave. I thought of that. To me, having to eat girls is an enslavement. When I eat at night, my mother either goes to the bathroom or talks to me. It always happens.”

“I’m trying to make myself remember what it was in the dream that I was afraid of. I can’t remember when I was ever so terrified. It was almost as though I felt terror in this dream. Strange that I yelled for my mother.”

I interpreted his wish to be near his mother. He said, “The shape of the room was amorphous (a term he hated when it was applied to his body), endlessly winding around this pole. There was like this gigantic pole so the room could stretch for a long, long way. I had walked a long way down the corridor, when it was daylight, to the bed. To get to the room, I had walked through large metal doors. The room was oval with a pole. Was I really feeling me? It’s as though the room was my body, the pole my penis. The room is indescribable. There is no actual size. I can’t determine limits. It was a large enormous pole.” The next day, he produced further associations. “An important part of the dream is that I was not wearing anything. What made me so frightened in the dream was that it was like the dream I had as a child. I had a dream of having my lips taped together. It was the same fear. An ominous fear; I couldn’t and didn’t think of running. It was my father I was afraid of. The light was associated with my father. The darkness is me. I see myself as less able than my father. The light is my father. To be light means to me to be a man,

to do what my father does.

"Darkness is failure—I can never reach the light. In other dreams, the light was down the hall. Here it is closer." At this point, the patient identified this dream with a series of dreams that were typical for him: dreams, which took place in shadow with an area of light visible but far away.

In the fourth dream, he sees himself as evil, a failure, not a man. This is symbolized as being in darkness (shadow). His father is a man, symbolized by light. He cannot be. The dream room is a sexual situation into which he wishes to draw his mother. Success with mother is to be father, to be light. He is darkness. In the dream, there is great anxiety for he is closer to light and Oedipal fulfullment with mother than he has ever been before. In the dream, a flight and pursuit theme, as in Rimmer's painting, is clearly described.

Upon analysis, this was seen to be a manifestation of feared punishment associated with Oedipal guilt. His equation of mother and girls from his peer group could be established through reference to the wishes to be like his father with his mother, which appears in the dream. After the analysis of this dream, his impotence cleared.

Comment

Shadows, on the basis of ordinary considerations, should make excellent dream symbols. They share a number of characteristics with human forms. They have many characteristics (variable size, insubstantiality, ominousness), which could be used to represent a number of frequent latent dream contents. Symbolic representation is usually established through such links of similarity. By way of confirmation, literature, myths and superstition abound in such shadow symbols.

In actuality, shadows rarely appear as dream symbols. When they do, they often fail to cover latent meaning. The dream work finds them ineffective in masking latent content and probably displaces further to a more effective symbol. Direct visual representations of shadows do not help preserve sleep.

In literature, the ability of the teller of tales to force a symbol to reveal only its superficial meaning and hold undisclosed its inner meanings is related to the cage of verbal modifiers and demurrers, which

he can elaborate around it. Shadow can be used effectively as a verbal symbol because it is possible to avoid ambiguity in meaning. A single aspect of shadow can be represented. Therefore shadows often appear as symbols in literature. In visual representations, this is not always possible. In art and in dream, a shadow as protagonist invites the observer (the art viewer or the dreamer) to project aggressive and ominous meanings onto the shadow. In art, the shadow is used to express the ominous. In dreams, the dreamer soon replaces the shadow with the ominous striving, he had hoped to hide. Therefore, in dreams, shadows are rare.

Perhaps this insight has never quite better been told than in the nineteenth century poet Tennyson's verse that tells of a nightmare of the guilt ridden Guinevere.

> ' . . . if she slept she dream'd
> An awful dream, for then she seem'd to stand
> On some vast plain before a setting sun,
> And from the sun there swiftly made at her
> A ghastly something, and its shadow flew
> Before it till it touch'd her, and she turned—
> When lo! her own[1], that broadening from her feet,
> And blackening, swallow'd all the land, and in it
> Far cities burnt, and with a cry she woke. (p 639)

Legault (1971) in discussing rare dream symbols, such as shadows, concluded that rare dream symbols achieve that status as a result of the fact that as manifest dream elements they " . . . rarely ward off repressed affect and content. This characteristic . . . is not an unusual one." (page 1) It occurs when symbols have a link with repressed content via similarity of affective response. This is one of the possible links of similarity that a latent symbolic referent has with its manifest representation. Symbols, which relate to the symbolized via the common quality of the unpleasant affect aroused, frequently 'fail' (I would rather say function poorly) as dream symbols. They allow increasing quantities of affect to erupt, because they arrive bearing a burden of affect that is their own. Awakening, if this occurs while dreaming, is frequently a result. Such symbols are fires, earthquakes, explosions, and floods. These are " . . . relatively amorphous . . . . and are related to repressed material via affective resemblance. They usually symbolize particularly terrifying inner contents, frequently hostile" (pages 1 and 2). Legault (1971) chooses to refer to symbols established through an intermediary link of "affective resemblance" as affective symbolization. Apparently, there are some symbols, which, because of the nature of the link

between what is represented and what represents (i.e., similarity of form or affect) though able to be utilized as metaphors or concrete symbols, carry a load of affect that interferes with their use as psychoanalytic symbols.

SYMBOLS AND AFFECT

Symbols which contrary to the rules of cryptic symbol formation come into consciousness awash in affect, have been discussed. Much of the discomfort associated with mental illness is a product of a failure of the symbolizing function to neutralize affect or to select representations, which are laden with their own burden of affect. Shadow as symbol is studied as an example of a manifest symbol with a strong tendency to bring its own affect when used as a symbol. The use of shadows as symbols in art, stories, folklore, and dreams were surveyed. Shadows are rare as symbols in art and equally rare in dreams. In fact, they fail as symbols in dreams. The potential for multiple representations implicit in the visual imagery of the shadow defeats the goals of psychoanalytic symbol formation. The shadow as a dream symbol reveals what it should conceal. In addition it comes with a threatening affect of its own. Where the purpose of a symbol is the masking of meaning, shadows because they do not mute affect can serve as a symbol no better than a sieve can serve as a parasol. As a result other representations are turned to by the symbolizing function, and shadow symbols are relegated to the status of rarity.

There are forms of symbolization of affect that are successful. Sublime representations of frightening images give a sense of power by removing the representation a distance, through changing the media (i.e. reality to paint) from that of the referent but not from the affect. The experience of affects of awe and the sublime when confronted in such displacements in art bring mastery as mild as joy, as deep as awe.

AFFECTS AS SYMBOLS

It is possible at times for symbolization to produce affect. Affect is a centrally perceived physiological response to brain discharge into the autonomic nervous system. Such discharge, if sufficiently strong, can produce changes in body physiology, which are reflected in somatic change. It is possible at times for symbolization, a psychic process, to produce somatic pathology. Ergo symbolization may be the practical

bridge that replaces the magical leap in the generation of psychosomatic symptoms.

It is possible as Grotjahn (1945) has reported, for the affects of referents themselves rather than contents to be the primary targets of modification by symbolization. An affect or an affect equivalent may serve through displacement as a representation or symbol of another affect. This sort of symbolization of affect is a primitive style of ego function, which is related to readiness for fight or flight in lower animals.

Strong affect, when symbolized by another strong affect, disturbs sleep. Therefore, symbols such as laughter are rare in dreams. Grotjahn states " . . . . the dream work makes certain that . . . hostility expressed . . . is successfully disguised" (page 225). The dream work may establish a manifest dream affect whose link to a referent's latent affect is not readily perceptible, for as Grotjahn tells us the rare laughing dreamer does not recognize the hostility that is hidden in dream laughter. (page 225).

The theoretical formulations—relating to the formation of psychoanalytic affect porous symbols and affects as symbols—are predicated on the concept that referents in the unconscious are either unconscious affects or are linked to unconscious affect. These formulations delineate some of the mechanisms involved in diffusing the effect of latent affects on conscious functioning.

All referents that are represented by cryptic and psychoanalytic symbols are linked to affect, when in their non-conscious referent latent form. How can there be non-conscious affect, when affect is defined as a perceived change in body physiology? Obviously the requirements of this definition cannot be satisfied. The problem is a semantic one. Actually that which is meant is that locked in the non conscious and unconscious vaults of memory, and at times linked to concepts, are potentials to find expression in physiological activation of sensations.

In this context unconscious affect is an identifiable psychological entity. Freud's (1915E) thoughts about the existence of unconscious affect were as follows. " . . . all that corresponds in the (system consciousness) to unconscious affects is a potential beginning—which is prevented from developing" (page 178). Freud's concept of potential affect has been placed in context by Knapp (1958). In support of the idea of unconscious affects, Knapp (1958) points out that "Unconscious guilt . . . . seems thoroughly imbedded in psychoanalytic writing . . . as 'potential dispositions'"? "It seems necessary to distinguish these elements which are dynamically active in a given subject in a given moment" (page 65).

Pulver (1971) states unequivocally, that " . . . . affects can be unconscious" (page 353). In fact, " . . . . affects can exist as active processes with effects on both motor and psychic behavior, and yet be outside of the awareness of the individual and incapable of being brought into awareness by ordinary efforts of attention" (page 353).

In accord with these theoretical formulations, the concept of unconscious affect as used in this book refers to dynamically active potential affects, which are not in awareness. Their presence out of consciousness may be detected for instance when there appears in consciousness, derivatives such as psychoanalytic affect symbols at times when there is strength in any push that moves them near to the brink of awareness. Unconscious affects are disclosed too when affect porous symbols force their way through the defensive network of healthy symbolic forms.

Affects may be symbolized by physiological responses that participate in the functions that are interpreted in awareness to be affect. The latter are called affect equivalents. The connection between the original referent affect and its representation is conscious in an affect equivalent. The tearful person knows he is sad. Adapting an affect so that it symbolizes another affect makes possible an equilibrium, which requires no further ego work aimed at modifying latent content. An example is the formation of a tear when it expresses sadness. A person who is anxious and develops diarrhea before an exam can connect anxiety to the diarrhea though the causative role of the exam situation may not be risible. Affect equivalents (i.e. Tears, GI complaints, rapid respiration) differ from an affect porous symbol. A person with an affect porous symbol (such as a phobia) by contrast is unable to relate the physiological aspects of affect to both the referent concept and its latent affect. In like manner, a person with psychogenic hives cannot relate the associated physiological changes to the underlying affect which is part of an otherwise repressed fantasy. The relationship between affects as symbols for other affects, such as laughter in dreams in place of sadness is a product of the mechanism of repression with displacement, formerly identified as the instinctual vicissitude reversal into the opposite.

Laughter as a Psychoanalytic Affect Symbol

Let us return to Grotjahn (1945), who has established laughter as a rare dream phenomenon. When laughter does appear in dreams, the mechanism is similar to that seen in wit. This is defensive

substitution of an acceptable affect (laughter) for an unacceptable one (hostility). In the case he presented, this accomplishment was accompanied by modification of fantasy content. Grotjahn (1945) explained that laughter only occurs during an altered sleep state related to "partial awakening" (page 227). In this state, "intrapsychic perception . . . partially restored, the ego recognized the hidden meaning of the dream disguise . . . " (p 227). A psychic state is postulated in which the hidden meaning of the dream contents loses its disguise. Uncomfortable affect is mobilized in response. The affect associated with the latent content is later diminished through alteration of the manifest symbolic form or transmutation of the affect into a more acceptable form.

Tears as a Rare Affect Symbol during Dreaming

Greenacre (1965) mentions that "it is interesting how relatively infrequently tears appear in an undisguised way in the content of dreams" (page 213). She notes that "they may appear during sleep without the accompanying affect becoming conscious" (page 213). However, the disturbance of sleep by the appearance of weeping is documented by her, when she states "I have known instances where weeping occurred during sleep; and it is not very rare that someone waking with such sensations in the face and around the eyes is convinced that he has been weeping" (page 212). Weeping can be associated to sadness by the dreamer. Greenacre (1965) presents a rare dream element whose association with disturbance of sleep points to a regressive symbolization manifested in a sleep disturbing impairment in the repression of the link between the symbol and its underlying contents and affects. This would be an example of an 'affect metaphor'. The use of fluid as a masked expression of affect [(i.e. urticaria, (page 218)] is also explored by Greenacre (1965). This may be considered to be an example of a manifest displacement, which uses a physiological phenomenon in place of an image or word or verbal memory as a symbol for latent affect. The use of physiological phenomena as symbols is discussed in the next chapter.

Notes

1 shadow