

INITIATIVE AND THE HEROES IN THREE HEMINGWAY NOVELS:  
THE MOVEMENT FROM DEFEAT TO UNDEFEAT

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## CHAPTER I

### THE HERO

#### I. STATEMENT OF THE PROBLEM

The hero of twentieth century American fiction, as representative of twentieth century man, is generally viewed as a creature of absurdity. He is absurd because of his loss of stature, a loss which makes him both victim and rebel, too much the victim and too much the rebel to be either tragic or comic. He is "Job, a would-be rebel whose failure . . . is . . . absurd."<sup>1</sup> He is a failure, says R. W. B. Lewis in The American Adam, because his will has become disempowered and reluctant to initiate action.<sup>2</sup> Modern man as represented by the heroes of fiction is thus absurd in at least one respect because his will can no longer initiate action.

This concept of the disempowerment of the will is nothing new; it has grown up with the literature of the twentieth century, articulated in loud tones by naturalistic

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<sup>1</sup>Ihab Hassan, "The Pattern of Fictional Experience," in Modern American Fiction, ed. by A. Walton Litz (New York: Oxford University Press, 1963), p. 333.

<sup>2</sup>R. W. B. Lewis, The American Adam (Chicago: University of Chicago Press, 1955), p. 196.

writers such as Norris and Drieser at the turn of the century and now dandified by contemporaries such as Capote. Between the Naturalists and contemporaries are the writers of the post World War I era who attempted, through their fiction, to lend man individual dignity within the context of modern disillusion and to grant their heroes, at least in some cases, the ability to initiate action. (Fitzgerald's The Great Gatsby is an outstanding example.)

Ernest Hemingway was concerned, through his fictional heroes, with the position of individual man in the "chaos of non-meaning . . . which for Hemingway exists in its most concentrated and terrifying form at the point of the still moment of time in which the human will is challenged to make a response."<sup>3</sup>

Major critics of Hemingway's fiction (Philip Young and Sheridan Baker, for example)<sup>4</sup> have noted a progression within that fiction from the nihilistic attitude of The Sun Also Rises and In Our Time to the affirmation of The Old Man and the Sea--a movement, more particularly, of Hemingway's heroes from defeat to undefeat. This movement is usually defined

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<sup>3</sup>Earl Rovit, Ernest Hemingway (New York: Twayne Publishers, Inc., 1963), p. 111.

<sup>4</sup>Young's Ernest Hemingway (New York: Holt, Rinehart, and Winston, 1952) and Baker's Ernest Hemingway: An Introduction and Interpretation (New York: Holt, Rinehart, and Winston, 1967).

in terms of a growing social consciousness with particular emphasis upon the hero's symbolic "wound" and the Hemingway "code". Yet the concept of a social consciousness cannot account for the affirmative tone of The Old Man and the Sea and cannot entirely, in my opinion, account for at least the partial affirmation of For Whom the Bell Tolls. If we can equate "failure" with "defeat", then Mr. Lewis's statement is pertinent, and the inability of the hero's will to initiate action can be used as one criterion for determining the hero's defeated status. Accordingly, the hero will attain undefeated status as he becomes capable of initiating action. The movement of Hemingway's heroes from defeat to undefeat (granting that such a movement does occur) can therefore be traced in terms of initiative. The purpose of this paper is to offer an interpretation of the "initiative" theme as perceived in the heroes of The Sun Also Rises, For Whom the Bell Tolls, and The Old Man and the Sea through the movement from defeat to undefeat.

## II. PREVIOUS WORK

There has been no extensive interpretive consideration of the Hemingway hero's movement from defeat to undefeat in terms of initiative. The following works, however, are directly relevant to the subject of this monograph:

Stanley Cooperman, in "Death and Cojones: Hemingway's

A Farewell to Arms", appearing in the Winter, 1964 South Atlantic Quarterly, gives attention to the problem of initiative and the Hemingway hero, but deals specifically with Frederic Henry of A Farewell to Arms and centers his thesis on the hero's concern with death.

John Killinger, in Hemingway and the Dead Gods (Lexington: University of Kentucky Press, 1960), a study of Hemingway as an existential writer, is concerned with the operation of the hero's will (an integral part, as we have seen, of the matter of "initiative"), but is concerned with the operation of the will primarily in its confrontation with death.

Sheridan Baker, in Ernest Hemingway: An Introduction and Interpretation, discusses the movement of Hemingway's hero from defeat to undefeat. Several critics have dealt with this movement, but Baker's work is particularly relevant to this study because he cites Jake Barnes of The Sun Also Rises as the ultimately defeated hero, Santiago of The Old Man and the Sea as the ultimately undefeated hero, and Robert Jordan of For Whom the Bell Tolls as a meeting point of the defeated and undefeated modes--the same position which is taken in this monograph. Mr. Baker, however, traces the movement of the hero from defeat to undefeat in terms of activity and passivity: This concept is certainly relevant to the matter of initiative, yet is more general in that Mr.

Baker is more concerned with the acting of the hero than with the will or motivating force behind his acting.

### III. THE HEMINGWAY HERO DEFINED

Criticism of Hemingway's fiction almost without exception recognizes two classes or types of heroes operating within that fiction. These types are usually classed as the "code" hero and the "Hemingway" hero or, in Earl Rovit's terminology, the "tutor" and the "tyro".<sup>5</sup> The "tutor" or "code" hero, notably Anselmo of For Whom the Bell Tolls, is older and undefeated. The "tyro" or "Hemingway" hero is the protagonist--usually young and defeated, who is trying to acquire that dignity of undefeat which the "code" hero possesses. The problem of initiative is not applicable to the "code" hero since, being undefeated, he has already mastered it. The "Hemingway" hero, however, is very much concerned with "initiative", and it is with the protagonist, "tyro" figure that this monograph deals--specifically, with Jake Barnes of The Sun Also Rises, Robert Jordan of For Whom the Bell Tolls, and Santiago of The Old Man and the Sea. Any further definition of the nature of the hero at this point is limited, since this study grants that each of the three heroes under discussion occupies a separate, individual position.

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<sup>5</sup>Earl Rovit, Ernest Hemingway (New York: Twayne Publishers, Inc., 1963), p. 55.



## IV. PROCEDURE

The terms "Hemingway" hero and "tyro" are used here specifically for defining the subjects of this study, since two classes of heroes are recognized in Hemingway's fiction. This study does not deal with the "Hemingway" hero in the connotative sense of the term, i.e., as one growing entity, but rather with three individual heroes of three novels. Since the heroes under discussion are treated as separate entities, the novel, with its fully developed characters, is better suited to a study of this nature than is the short story. The three primary works involved represent, respectively, an early, middle, and late chronological stage in Hemingway's career. These novels were chosen, after a consideration of the entire Hemingway canon, because of their representative chronology and because, being generally recognized as major works, they probably present a truer picture of initiative and the hero's movement from defeat to undefeat than do Hemingway's lesser works such as The Green Hills of Africa and To Have and Have Not. A farewell to Arms, perhaps conspicuously absent from the novels considered in this study and certainly hailed as a major work, is omitted because its hero, in regard to the defeated motif, is approximate to, but not so pure as, that of The Sun Also Rises.

"Initiative" within the context of this monograph,

keeping in mind Mr. Lewis's concept of the ability of the will to initiate action, is, more specifically, an extension of the self<sup>6</sup> which can control and manipulate circumstances. Inherent in this definition is the implication of a personal effect on immediate surroundings and associates. This implication provides the criteria for judging each hero's possession of or lack of possession of initiative as well as the major organization plan of the monograph.

Chapter II deals with the three heroes, Jake Barnes, Robert Jordan, and Santiago, within the context of the group, their immediate associates. In this chapter, each hero is viewed as to the effect of the group upon his ability to exercise initiative and as to his personal effect upon the group.

Chapter III considers the relation of the three heroes to women, the effect of woman upon the heroes' ability to exercise initiative and the heroes' personal effect upon woman.

Chapter IV, the final chapter, is concerned with initiative and the movement from defeat to undefeat. In it, the three heroes are evaluated as to their possession of or lack

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<sup>6</sup>The concept of "self" as developed within the monograph may be defined as the private circle of the hero's most personal experience of himself. Within the monograph, the terms "himself" and "self" are used as separate, distinct concepts.

of possession of initiative and their defeated or undefeated status, the evaluations being drawn from the discussions in Chapters II and III on the heroes' relation to the group and to woman.

## CHAPTER II

### THE HERO AND THE GROUP

The hero, in order to exercise initiative, must be situated within circumstances over which he has the option of at least attempted control and manipulation; i.e., he does not operate within a vacuum. The hero's immediate associates provide circumstances within which he has such an option in that they affect the hero's power to exercise initiative, the hero's degree of control within the context of the group, and the relation of the self to the group.

#### I. THE SUN ALSO RISES: JAKE BARNES

Jake Barnes of The Sun Also Rises is part of the group of expatriates--notably Lady Brett Ashley, Mike Campbell, Robert Cohn and Bill Gorton--who operate in the Paris cafes in the period immediately following World War I. Jake is devoid of the ability to exercise initiative within the context of this group. The self, in order to be extended, must be unified, but Jake diffuses his self in his attempted retreat into the identity of the group.

Because he refuses to come to terms with himself--a process essential and prerequisite to the extension of the self--Jake has a very real fear of aloneness.

Though he prefers the company of Brett Ashley, Jake seeks out any form of companionship--even that of Robert

Cohn, whom he finds disgusting. Jake Barnes's fear of being alone causes his inability to sleep without a light burning. After being wounded, Jake slept with a light burning for six months and he still has trouble sleeping when alone. During the festival at Pamplona, Jake admits his insomnia and fear of solitude:

. . . I could not sleep. There is no reason why because it is dark you should look at things differently from when it is light. The hell there isn't!<sup>1</sup>

He still desires a light--any form of companionship--to keep him from self-awareness.

Outwardly, Jake Barnes is an integrated part of his group; he is an expatriate among expatriates. But his obvious struggle to be a part of the group indicates that he is not integrated with them. In Pamplona, for instance, Jake is "drinking red wine, and so far behind them [the group] that I felt a little uncomfortable . . ."2

On the other hand, when Jake can feel himself a part of the group, he is relatively serene; he sees his identity as that of the group, alleviating the necessity of identifying and perhaps extending himself as an individual:

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<sup>1</sup>Ernest Hemingway, The Sun Also Rises (New York: Charles Scribner's Sons, 1926), p. 148.

<sup>2</sup>Ibid., p. 173.

We all felt good and we felt healthy, and I felt quite friendly to Cohn.<sup>3</sup> (my underlining)

If he can identify with the group as a whole, he is quite willing to identify with even Robert Cohn.

In his attempt to identify with the group, Jake, who obviously "pimps" for Brett Ashley, also "pimps" for other members of the group. During the interlude at Burguete where, in the relaxed tensionless atmosphere, Jake has regained something of his self-respect, he is nevertheless eager to leave upon receiving a telegram announcing the arrival of the "group" in Pamplona and tells his companion, "We have to go into Pamplona. We're meeting people there."<sup>4</sup> While here Jake is at the beck and call of the group as a whole; in several instances he takes on obnoxious tasks for separate members of the group. For example, after his fight with Cohn, Jake faces Cohn again, on Bill Gorton's instruction. And the morning after, though with a severe headache, he "remembered I had promised to take Bill's friend Edna to see the bulls go through the street and into the ring."<sup>5</sup> Jake welcomes these errands, for they insure his acceptance by the

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<sup>3</sup>Ibid., p. 151.

<sup>4</sup>Ibid., p. 127.

<sup>5</sup>Ibid., p. 195.

group and thus serve as an excuse for not coming to terms with himself.

Although Jake Barnes tries desperately to identify with his group, he remains on the fringe, seeking companionship and running errands, but never becoming either an integrated individual or an integrated part of the group.

Jake's impotency . . . because of the milieu in which the novel is placed, . . . forces him to be a spectator rather than a participant in the events of the novel. He can react intensely, but his actions will necessarily be passive; they will be struggles to "hold on" and to accept rather than to shape circumstances by the force of his direct will. Thus the novel is composed largely of "what happens" to Jake and how he copes with these happenings over which he is denied any control.<sup>6</sup>

Things "happen" to Jake Barnes; he does not make them happen. Barnes is a journalist--a professional spectator. And he is an aficionado--a true bullfight enthusiast, but a spectator, not a participant. Again he serves the group by interpreting the bullfight for them. Jake is a "steer", not only physically but psychically as well. Jake himself makes the obvious analogy during one of his "interpretations":

They let the bulls out of the cages one at a time, and they have steers in the corral to receive them and keep them from fighting, and

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<sup>6</sup>Earl Rovit, Ernest Hemingway (New York: Twayne Publishers, Inc., 1963), pp. 148-149.

the bulls tear in at the steers and the steers run around like old maids trying to quiet them down.<sup>7</sup>

Jake's relation to his group is that of the steer to the bulls. The analogy is even more clearly defined when Bill Gorton asks, "Can't the steers do anything?"<sup>8</sup> and Jake answers, "No. They're trying to make friends."<sup>9</sup>

The fact that Jake is a spectator, not a real participant, is again brought into clear relief during his "fight" with Cohn. Jake "felt I must get on my feet and try and hit him."<sup>10</sup> But he does not act--he is incapable of extending himself even in his own physical defense; he is too much diffused into the group.

The war has rendered Jake Barnes physically impotent, but he renders himself psychically impotent through abject irresolution. He deludes himself: "' . . . what happened to me is supposed to be funny. I never think about it.'"<sup>11</sup> But he does think about it. He looks into his mirror and shuffles his psychic impotence off onto his physical impotence in spasms of self-pity. Jake fails in his attempted retreat into the identity of the group. At Burguete, he and Bill

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<sup>7</sup>Hemingway, The Sun Also Rises, op. cit., p. 133.

<sup>8</sup>Ibid.

<sup>9</sup>Ibid., p. 191.

<sup>10</sup>Ibid., p. 191.

<sup>11</sup>Ibid., p. 26.



Often discuss expatriation and Bill proposes, "You don't work. One group claims women support you. Another group claims you're impotent."<sup>12</sup> Jake answers, "No . . . I just had an accident."<sup>13</sup> Because he cannot come to terms with himself as an individual, he cannot operate without embarrassment within the group.

If a man is unable to forgive his past actions, he becomes insidiously but irrevocably determined by them; and he loses his freedom to make a new beginning.<sup>14</sup>

Jake is unable to forgive his past actions--to make a new beginning. He would like to be like Pedro Romero, ". . . standing, straight and handsome and altogether by himself, alone in the room with the hangers-on."<sup>15</sup> But he lacks the ability to "stand alone"; he is a hanger-on. Rather than face himself, he prefers to continue pandering to the group, to continue seeking any form of companionship. Back in France after the Pamplona festival, separated from the group, Jake, still the steer, is "trying to make friends":

. . . I tipped every one a little too much at the hotel to make more friends . . . I only wanted a few good French friends in Bayonne to make me welcome in case I should come back there again.<sup>16</sup>

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<sup>12</sup>Ibid., p. 115.

<sup>13</sup>Ibid.

<sup>14</sup>Novit, Ernest Hemingway, op. cit., p. 114.

<sup>15</sup>Hemingway, The Sun Also Rises, op. cit., p. 163.

<sup>16</sup>Ibid., p. 233.

Jake Barnes seeks complicity. He makes no real attempt to initiate action for and by himself. At the beginning of the novel, he obviously backs away from taking the initiative in the incident with Brett and her group of homosexuals:

I was very angry. Somehow they always made me angry. I know they are supposed to be amusing, and you should be tolerant, but I wanted to swing on one, any one, anything to shatter that superior, simpering composure. Instead, I walked down the street and had a beer at the next Bar.<sup>17</sup>

And he makes no progress. At the end of the novel, his continuing inability to initiate action is shown up while he is swimming at Bayonne: "I thought I would like to cross the bay but I was afraid of cramp."<sup>18</sup> He has regressed, if anything, rather than progressed, for at the beginning he was at least sure of his motives, although he failed to act on them. But at the end, he only "thinks" he would like to initiate an action.

Jake Barnes displays no initiative. He cannot extend himself because his self is diffused and fragmented through his attempted retreat into the identity of his group. Because his self is diffused, he is unable to control and manipulate circumstances pertaining to that self.

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<sup>17</sup>Ibid., p. 20.

<sup>18</sup>Ibid., p. 238.

. . . The Sun Also Rises is a reassertion of the basic truth of American culture . . . that individual man is the puny maker of his meanings in life. If he does not impose them out of an integrity to the unvarnished truths of his own experience, then they will not exist at all and unmeaning will flood into the vacuum of his irresolution.<sup>19</sup>

Jake, because he cannot exercise initiative, cannot make his own meanings.

## II. FOR WHOM THE BELL TOLLS: ROBERT JORDAN

Unlike his predecessor Jake Barnes, Robert Jordan of For Whom the Bell Tolls is capable of coming to terms with himself and of extending his self to control and manipulate circumstances, but his exercise of initiative is limited because of his involvement with the group. Jordan's group is the band of Spanish guerillas with whom he must work in carrying out his orders. In this sense, Jordan does not seek to identify with the group, but rather is forced to operate within it. He has no real identity with the group. As Spiller observes:

Jordan fights for the cause, but his is a private war. He is forever at odds with the Spanish guerillas with whom he hides out in the mountain cave while waiting for the moment to come when he may blow up his bridge and so fulfill his destiny.<sup>20</sup>

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<sup>19</sup>Rovit, Ernest Hemingway, op. cit., pp. 160-161.

<sup>20</sup>Robert E. Spiller, The Cycle of American Literature (New York: The MacMillan Co., 1956), p. 206.

Jordan, too, fears aloneness, but can ultimately accept it. He has "studied" the Spanish culture, but is not a real part of it. He is essentially "the lonely rebel, serving in a foreign country with a foreign army, though now with the illusion of a 'cause'."<sup>21</sup>

Jordan has exercised initiative in making his initial decision to serve the "cause", but this decision has placed him in circumstances over which he cannot have complete control. By volunteering to serve, he has made himself subject to orders and thus made the "group" necessary to his operation. "I come only for my duty," Jordan tells Pablo. "I come under orders from those who are conducting the war."<sup>22</sup> Pablo immediately notes, "Now if you blow a bridge here, we will be hunted,"<sup>23</sup> and Jordan is involved in complicity. Just as the group is necessary for Jordan's carrying out his orders, his actions will necessarily affect the group. He becomes too involved with the group: "He resented Golz's orders, and the necessity for them. He resented them for what they could do to him and what they could do to this old man [Anselmo]."<sup>24</sup>

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<sup>21</sup>Nemi D'Agostino, "The Later Hemingway," in Hemingway: A Collection of Critical Essays, ed. by Robert P. Weeks (Englewood Cliffs: Prentice-Hall, Inc., 1962), p. 156.

<sup>22</sup>Ernest Hemingway, For Whom the Bell Tolls (New York: Charles Scribner's Sons, 1940), p. 15

<sup>23</sup>Ibid.

<sup>24</sup>Ibid., p. 43.

Jordan is first concerned with himself, but is also concerned with the group and thus his exercise of initiative will be within the context of and on behalf of the group as well as for himself. He ruminates:

So you say it is not that which will happen to yourself but that which may happen to the woman and the girl and to the others that you think of. All Right. What would have happened to them if you had not come? What happened to them and what passed with them before you were ever here? You must not think in that way. You have no responsibility for them except in action. The orders do not come from you. They come from Golz.<sup>25</sup>

There was nothing to be gained by leaving them alone. Except that all people should be left alone and you should interfere with no one.<sup>26</sup>

Jordan is forced to interact with the group and they are forced to depend on him. Thus, because of complicity, his exercise of initiative will not be a free exercise. Though not a free exercise, Jordan is capable of exercising initiative and though under orders, he can control and manipulate the means of carrying out those orders. Unlike Jake Barnes, he is not a spectator but a participator. Jordan is happier when controlling, manipulating. After the initial realization of his involvement with the group, Jordan begins to plan the actual destruction of the bridge. "He sketched

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<sup>25</sup>Ibid., p. 162.

<sup>26</sup>Ibid., p. 163.

quickly and happily, glad at least to have the problem under his hand; glad at least actually to be engaged upon it."<sup>27</sup>

After Pablo, the leader of the group, has turned on him by stealing his detonators, Jordan is able to improvise a system for blowing the bridge; i.e., he is forced to manipulate circumstances which his orders have not foreseen. Even when he realizes that his orders are impossible, Jordan is still in control, still manipulating: "You have to go on and made a plan that you know is impossible to carry out."<sup>28</sup> His orders prevent Jordan from intelligently exercising initiative.

In one sense, Jordan remains detached, reserving part of himself in all human relationships so that the necessary job can be done--so that he can remain in control. In this detachment he coldly judges his companions, estimating their relative dependability and expendability, and perfecting his battle-plan in accordance with these estimates.<sup>29</sup> On the other hand, he can become involved with human beings, as in his companionship with Anselmo, his love for Maria, and his concern for the group as a whole.

Jordan thinks too much, and his involvement with the group muddles his thinking. He wants only to feel emotions

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<sup>27</sup>Ibid., p. 35.

<sup>28</sup>Ibid., p. 385.

<sup>29</sup>Carlos Baker, "The Spanish Tragedy", in Ernest Hemingway: Critiques of Four Major Novels, ed. by Carlos Baker (New York: Charles Scribner's Sons, 1962), p. 126.

and ideals, or, as a technician and a brave man, to do what he is told. The thinking is for others. Yet he likes the feeling of being an "insider", which is what one becomes by losing one's American "chastity of mind", telling political lies with the Russians at Gaylord's.<sup>30</sup> Jordan's "self" cannot dictate his actions as long as he is involved with the group:

Once you saw it again as it was to others,  
once you got rid of your own self, the always  
ridding of the self that you had to do in war.  
Where there could be no self. Where yourself  
is only to be lost.<sup>31</sup>

Even in the end, Jordan must cover the retreat of the group. There is left only the self, which dictates suicide, but Jordan denies this supreme gesture of initiative for the sake of the group. He is thus capable of initiative--capable of extending the self to control and manipulate circumstances--but he does so within the context of the group, attempting to lose his self. He knows from the beginning that, could he carry out his orders by himself without interaction with the group, he would succeed. He has the stuff within himself (as Jake Barnes does not), but the group confines him through complicity and the illusion of sacrifice.

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<sup>30</sup>Lionel Trilling, "An American in Spain", *Ibid.*, p. 79.

<sup>31</sup>Hemingway, *For Whom the Bell Tolls*, *op. cit.*, p. 447.

### III. THE OLD MAN AND THE SEA: SANTIAGO

While Jake Barnes of The Sun Also Rises is unable to exercise initiative within the context of his group and Robert Jordan of For Whom the Bell Tolls is able to exercise initiative but <sup>is</sup> confined by his interaction with the group, Santiago of The Old Man and the Sea displays full exercise of initiative in relation to his "group". Although Santiago is part of the community of fishermen of Havana, his real associates are the boy Manolin and the sea and her creatures.

Santiago, unlike Barnes and Jordan, is completely at home in his milieu--he is not an expatriate; he is not a foreigner. He is of the sea and the sea is a part of him. Aloneness is his way of life, a way of life which has come from integration with the sea. The creatures of the sea are Santiago's brothers, and he considers himself a creature of the sea. He ponders:

Most people are heartless about turtles because a turtle's heart will beat for hours after he has been cut up and butchered. But the old man thought, I have a heart too and my feet and hands are like theirs.<sup>32</sup>

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<sup>32</sup>Ernest Hemingway, The Old Man and the Sea (New York: Charles Scribner's Sons, 1952), p. 37.



Santiago converses with the sea creatures as with companions. "Stay in my house,"<sup>33</sup> he says to a small bird who perches on the stern of his boat while Santiago rests from a struggle with the giant marlin. But the marlin lurches and Santiago becomes totally involved in extending his will and strength on the fish. Only after the struggle does he realize that his companion has flown away and desire its company.

The boy Manolin, the only human member of Santiago's immediate "group", keeps the old man alive physically, but he is not psychically necessary. "I wish I had the boy. To help me and to see this,"<sup>34</sup> Santiago says. He equates "help" and "see". Santiago's catch is as important--perhaps more important--than staying alive, and he wants to stay alive only to prove himself over the marlin. The boy would be a help in time of crisis, but Santiago is still invoking, through his will, the strength and courage of his youth.<sup>35</sup>

Santiago is more than participant; he is aggressor. At home in, yet ready to extend himself upon his surroundings, his "group", he goes out looking for the marlin:

His [the fish] choice had been to stay in the deep dark water far out beyond all snares and

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<sup>33</sup>Ibid., p. 55

<sup>34</sup>Ibid., p. 48.

<sup>35</sup>Carlos Baker, "Hemingway's Ancient Mariner", in Critiques of Four Major Novels, op. cit., p. 50.

traps and treacheries. My choice was to go there to find him beyond all people. Beyond all people in the world.<sup>36</sup>

Santiago, to truly extend himself, to be able to control, to manipulate, must also escape the "snares and traps and treacheries" of the human community and place himself in his natural milieu--the sea.

Santiago considers the marlin his brother but, both being creatures of the sea, he has no qualms about killing the fish because the killing is natural--it is the way of a fisherman, a son of the sea. Santiago the aggressor boasts in his conversation with the marlin, for he is confident that his will can outlast the endurance of the fish: "How do you feel, fish?" he asked aloud. "I feel good and my left hand is better and I have food for a night and a day. Pull the boat, fish."<sup>37</sup>

The old man's determination to kill the fish never relaxes in his sorrow for him. After the fish has been half-devoured by sharks, Santiago can no longer talk to him. The fish has been ruined too badly and is no longer worthy to be the old man's brother.

Santiago has to go beyond the community of men to find his great catch, and that catch cannot be brought back into

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<sup>36</sup>Hemingway, The Old Man and the Sea, op. cit., p. 50.

<sup>37</sup>Ibid., p. 74.

the community of men. Santiago's experience is an incommunicable one.

Santiago's exercise of initiative is, in one sense, turned inward in his control and manipulation of himself in the physical, moment-to-moment struggle with the marlin, so that self can be extended over the fish. The old man is victorious over his brother through the "pure momentum of his determination."<sup>38</sup> "He is a great fish and I must convince him, he thought. I must never let him learn his strength nor what he could do if he made his run."<sup>39</sup> Santiago must prove himself to the fish. "The thousand times that he had proved it meant nothing. . . . Each time was a new time and he never thought about the past when he was doing it."<sup>40</sup> Extending himself, exercising initiative, is the old man's way of life. Santiago is proving himself to himself as well as to the marlin. He continually instructs and wills his hand not to cramp; at one point he wills the line to cut off the hand if it cramps again; i.e., if Santiago cannot control, cannot manipulate his own self, he is not worthy of the fish or of his very existence.

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<sup>38</sup>Revit, Ernest Hemingway, op. cit., p. 89.

<sup>39</sup>Hemingway, The Old Man and the Sea, op. cit., p. 63.

<sup>40</sup>Ibid., p. 66.

Santiago has no self-pity during his struggle with the merlin, no self-pity when the sharks take his prize. "But man is not made for defeat," he said. "A man can be destroyed but not defeated."<sup>41</sup> "Fight them . . . I'll fight them until I die,"<sup>42</sup> Santiago says of the scavengers; even after his catch is gone, it is the extending, the initiative, that matters. "You did not kill the fish only to keep alive and to sell for food, he thought. You killed him for pride and because you are a fisherman."<sup>43</sup>

Santiago is always in control--in control of himself and thus of his surroundings, his "group". He has learned control from his long interaction and integration with his surroundings. "It is better to be lucky," he says, "But I would rather be exact."<sup>44</sup> Santiago is too much at one with his milieu for complicity. It is this unity which gives him both the inner stuff and the circumstances for his exercise of initiative.

#### IV. SUMMARY

In looking at the three heroes (Jake Barnes of The Sun Also Rises, Robert Jordan of For Whom the Bell Tolls, and Santiago of The Old Man and the Sea) in regard to each

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<sup>41</sup>Ibid., p. 103.

<sup>42</sup>Ibid., p. 115.

<sup>43</sup>Ibid., p. 105.

<sup>44</sup>Ibid., p. 105.

one's ability to exercise initiative in relation to his group, the following progression emerges:

Jake Barnes is devoid of the ability to exercise initiative within the context of the group. He has no power to extend himself because his self is diffused within his group. This diffusion results in complicity and total lack of control and manipulation of those circumstances pertaining either to the group or to the self.

Robert Jordan is capable of exercising initiative in that he can extend himself, but this extension controls and manipulates those circumstances pertaining to the group, not to the self, thus his self is denied the power of free extension and his exercise of initiative is limited.

Santiago operates with the full exercise of initiative within the context of his group. That group is a part of his self, thus actually reinforcing the extension of self.

## CHAPTER III

### THE HERO AND WOMAN

The hero, as well as being involved with the group, is involved with woman. " . . . Hemingway's heroes are paragons of virility, and, as such, demand the companionship of real women."<sup>1</sup> Although the women with whom Jake Barnes, Robert Jordan, and Santiago are involved are members of the group as a whole, the heroes share a special, more personal relationship with them. Thus the heroes' women, because of their deeper involvement with the heroes, need to be separately considered in regard to their effect on the heroes' ability to exercise initiative: The heroes' ability to remain in control in the masculine-feminine relationship and the effect of this relationship on the heroes' selves. Santiago poses a special case here, for while Jake Barnes of The Sun Also Rises and Robert Jordan of For Whom the Bell Tolls are involved with specific women, he is concerned not with one woman, but an abstract feminine entity or principle, the sea.

#### I. THE SUN ALSO RISES: JAKE BARNES

Jake Barnes, as well as being devoid of initiative

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<sup>1</sup>John Killinger, Hemingway and the Dead Gods (Lexington: University of Kentucky Press, 1960), p. 89.

within the context of the group, is also devoid of initiative in his relationship with Lady Brett Ashley. It is, in fact, because he lets Brett sap his initiative, that Jake cannot assert himself within the group; and he seeks the identity of the group as a refuge from his non-assertive status in his relationship with Brett.

The relationship between Jake Barnes and Brett Ashley is that of man-wife or lover, in that they outwardly appear to operate on an equal plane. But this relationship, because of Jake's wound, is physically impossible to consummate and is thus frustrated. Jake is not responsible, then, for his inability to physically exercise initiative within the lover relationship. But he is responsible for his psychic inability to initiate action in regard to Brett. Since the relationship cannot be consummated, control and manipulation of circumstances pertaining to that relationship would consist of Jake's either exercising self-control in regard to Brett, or simply escaping from Brett--terminating the relation. Jake is able to do neither; rather his attitude is "'Couldn't we live together, Brett? Couldn't we just live together?'"<sup>2</sup>

Killinger notes that Hemingway's view is:

. . . it is impossible for both lovers in a  
. . . union to exist synchronously as persons.

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<sup>2</sup>Ernest Hemingway, The Sun Also Rises (New York: Charles Scribner's Sons, 1926), p. 55.

Brett, unlike most Hemingway heroines, is not submerged as a person; with the exception of a faltering moment when she meets Romero, she remains a willing, thinking, independent being from first to last. But had she and Jake been able to consummate their love, it would have been necessary . . . for one of them to surrender his personhood, to cease to be a subject and become an object. This is the rare occasion in a Hemingway story when a heroine who is admirable by his standards (Brett would surrender to Jake if Jake could receive the surrender) remains a person.<sup>3</sup>

Brett cannot physically surrender herself to Jake, so-- although, as Killinger implies, no surrender at all is necessitated under the circumstances--Jake psychically surrenders himself to Brett, rather than take the initiative and either exist on an equal plane with her or terminate the relationship. After Brett has left Romero, she tells Jake, "'Darling! I've had such a hell of a time.'"<sup>4</sup> Jake, having surrendered his self to Brett to the point where he seeks suffering at her behest, entreats, "'Tell me about it.'"<sup>5</sup>

Jake's surrender of his self to Brett results in a complete reversal of roles. Jake assumes, in the relationship, submission to Brett's will while she assumes a masculine, assertive stance. The most striking example of her assumed masculinity is in her refusal to let her hair grow for Romero.

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<sup>3</sup>Killinger, Hemingway and the Dead Gods, op. cit., p. 95.

<sup>4</sup>Hemingway, The Sun Also Rises, op. cit., p. 241.

<sup>5</sup>Ibid.



She says to Jake, "He wanted me to grow my hair out. Me, with long hair. I'd look so like hell."<sup>6</sup> Jake, characteristically, rather than assume the traditional masculine attitude of preference for the more feminine long hair, responds, "It's funny."<sup>7</sup> "To yield up her cropped head," Fielder notes, "would be to yield up her emancipation from female servitude, to become feminine rather than phallic."<sup>8</sup>

Brett is the promiscuous one and Jake, while she pursues the Paris night life, remains in his room alone and self-pitying. "She loves looking after people."<sup>9</sup> Mike Campbell says of Brett. Hers is the assertive, even protective role while Jake's is subservient. "Anything you want me to do?"<sup>10</sup> he asks Brett after already setting up her affair with Romero.

Brett dominates all of Jake's actions. She has the initiative which he does not have, because he has willingly surrendered himself to her. Brett is a major cause of Jake's insomnia, which has been attributed to his need for companionship--particularly Brett's companionship:

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<sup>6</sup>Ibid., p. 242.

<sup>7</sup>Ibid.

<sup>8</sup>Leslie A. Fielder, Love and Death in the American Novel, rev. ed. (New York: Dell Publishing Co., 1966), p. 319.

<sup>9</sup>Hemingway, The Sun Also Rises, op. cit., p. 203.

<sup>10</sup>Ibid., p. 207.

[Jake] lay awake thinking. Then I couldn't keep away from it, and I started to think about Brett and all the rest of it went away. I was thinking about Brett and my mind stopped jumping around and started to go in sort of smooth waves. Then all of a sudden I started to cry.<sup>11</sup>

When Jake is in Burguete--not in Brett's proximity-- he is able to sleep.

The trouble is that the Burguete interlude is just that--an idyllic escape into an unreal world of simple military or boyhood relationships. One must . . . go back to a more complicated, sexual society where women rather than fish contest with the lovers.<sup>12</sup>

When Jake does return from the Burguete interlude--to Brett-- and tells her that he has had a "good time", her reaction is, "I was a fool to go away."<sup>13</sup> When Jake is away from Brett, he can retain some measure of control--some measure of his masculine role. But Brett must be in control and Jake must submit. He willingly deceives himself by his refusal to come to terms with himself and thus discards any self-respect and self-integration he may have possessed by submitting to Brett's will.

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<sup>11</sup>Ibid., p. 31.

<sup>12</sup>Robert W. Lewis, Jr., "Tristan or Jacob: The Choice of The Sun Also Rises", in The Modern American Novel, ed. by Max Westbrook (New York: Random House, Inc., 1966), p. 105.

<sup>13</sup>Hemingway, The Sun Also Rises, op. cit., p. 15.

Jake virtually has no "self". He is completely immersed in Brett. His universe is centered in and oriented to Brett. In one instance in Pamplona, Jake notes, ". . . supper was a pleasant meal. Brett wore a black, sleeveless evening dress. She looked quite beautiful."<sup>14</sup> Even the most mundane occurrences, for Jake, derive any meaning they might have from Brett. At another meal, after Brett has gone off with Romero, Jake looks at the people at the table and "it seemed as though about six people were missing."<sup>15</sup>

Because his self is immersed in Brett, it cannot be extended, cannot control and manipulate. Thus he is psychologically as well as physically impotent and Brett, in their perverted relationship, exercises initiative. Since Jake has his very being in Brett, he cannot exercise initiative, and any action he is capable of taking consists of "pimping" for her or setting the stage of her exercise of initiative. The most obvious instance of this "pimping" is Jake's setting up of Brett's affair with Romero. "'Please stay by me and see me through this,'"<sup>16</sup> she says to Jake in reference to her attraction to Romero. "'Sure,'" Jake responds, "'What do you want me to do?'"<sup>17</sup> In setting up the affair, Jake betrays any hope of self-retention that he might have--the respect

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<sup>14</sup>Ibid., p. 146.

<sup>15</sup>Ibid., p. 224.

<sup>16</sup>Ibid., p. 184.

<sup>17</sup>Ibid.

for himself as an aficionado. Even Romero senses that Jake is pimping for Brett and himself: "[Romero] looked at me [Jake]. It was a final look to ask if it were understood. It was understood all right."<sup>18</sup> Jake never asserts himself. He is still pimping for Brett when he rescues her from the Romero affair, and he realizes it:

That seemed to handle it. That was it. Send a girl off with one man. Introduce her to another to go off with him. Now go and bring her back. And sign the wire with love. That was it all right.<sup>19</sup>

But he never gains the inner ability to initiate action on his own. It is always at the behest of someone else, usually Brett. This dependence upon others weakens and diffuses the self to the point where extension is impossible for Jake. But it is not impossible for Romero. Jake sums up his own situation--his own lack of self, as he muses over Romero's performance in the ring:

Pedro Romero had the greatness. He loved bullfighting, and I think he loved the bulls, and I think he loved Brett. Everything of which he could control the locality he did in front of her all that afternoon. Never once did he look up. He made it stronger that way, and did it for himself, too, as well as for her. Because he did not look up to ask if he pleased he did it all for himself inside, and it strengthened him,

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<sup>18</sup>Ibid.

<sup>19</sup>Ibid., p. 239.

and yet he did it for her, too. But he did not do it for her at any loss to himself. He gained by it all through the afternoon.<sup>20</sup>

Jake is always "looking up to ask if it pleased." The crux of Jake's problem--the problem of initiative--is that he does not "do it all for himself inside". He is not strengthened by his performances, because his actions are solely dependent for their initiation upon others, upon Brett, and not upon himself. Thus while Romero is the epitome of the man capable of initiative, Jake is his weak opposite.

## II. FOR WHOM THE BELL TOLLS: ROBERT JORDAN

We have seen, through Jake Barnes, that initiative becomes largely an internal matter: The hero may act externally for others and retain initiative, retain self; but internally, his exercise of initiative must be for himself, and he must be strengthened by this exercise.

Robert Jordan of For Whom the Bell Tolls is involved with woman--he acts for Maria, but he retains initiative. He remains in control and, unlike Jake Barnes, he never loses his self. Jordan is involved to some extent with both Pilar and Maria. Pilar is assertive and masculine, whereas Maria is submissive and feminine. Were Jordan's real involvement

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<sup>20</sup>ibid., p. 216.

with Pilar, his initiative could conceivably be destroyed. But Pilar is conveniently old and ugly, and Jordan's involvement is with Maria.

Although Jordan and Maria are actual lovers, their relationship has definite father-daughter connotations. Jordan's is a protective, masculine role. Jordan virtually tells Maria fairy tales about their would-be luxury in Madrid. And he calls her his "little rabbit", as one would a child.

. . . even when [Jordan] tells Maria at the end of the book to go and take him with her, one cannot but feel that he is speaking to her as if she were a child believing in a Santa Claus in which he has only pretensions of belief.<sup>21</sup>

In such a relationship, unlike that of Jake Barnes and Brett Ashley, the partners are not vying for control.

Unlike Jake and Brett, Jordan and Maria retain their proper masculine and feminine roles. Maria's hair, like Brett's, is cropped, but has been cropped in violation of her womanhood and Maria is eager for it to be long again.

Whereas Jake has his being in Brett, Maria renounces herself in favor of Jordan. "You take all the love I have to give!"<sup>22</sup> she tells Jordan. Maria is willing completely to subjugate her life to Jordan's, but loving her can never

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<sup>21</sup>Killinger, Hemingway and the Dead Gods, op. cit., p. 94.

<sup>22</sup>Ernest Hemingway, For Whom the Bell Tolls (New York: Charles Scribner's Sons, 1940), p. 354.

be more than a part of Jordan's life because, in regard to her, he is acting for himself. Maria "dies" each time she and Jordan have intercourse--she dies to herself and lives in Jordan. But Jordan says he does not die.<sup>23</sup> "'But you do not like the things of life?'"<sup>24</sup> Pilar asks, and Jordan answers, "Yes. Very much. But not to interfere with my work."<sup>25</sup>

A love affair can conceivably expose the man to the shock of his partner's impregnating personality; for this to happen, however, there must be at least a relaxing of the taut barriers with which the male protects his inmost self.<sup>26</sup>

Jordan, through determination and control, does not relax these barriers and thus his inmost self remains intact and capable of extension. His attitude is summed up when we are told, "So far she had not affected his resolution but he would much prefer not to die."<sup>27</sup> The private circle of Jordan's most personal experience of himself is not seriously affected by his relationship with Maria. Jordan's "clear thinking" after intercourse<sup>28</sup> comes from his feeling of freedom from Maria.<sup>29</sup>

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<sup>23</sup>Ibid., p. 160.      <sup>24</sup>Ibid., p. 91      <sup>25</sup>Ibid.

<sup>26</sup>Earl Rovit, Ernest Hemingway (New York: Twayne Publishers, Inc., 1963), p. 23.

<sup>27</sup>Hemingway, For Whom the Bell Tolls, op. cit., p. 164.

<sup>28</sup>Ibid.

<sup>29</sup>Killinger, Hemingway and the Dead Gods, op. cit., p. 96.

. . . Hemingway divides his women into the good and the bad, according to the extent to which they complicate a man's life. Those who are simple, who participate in relationships with the heroes yet leave the heroes as free as possible, receive sympathetic treatment. Those who are demanding, who constrict the liberty of the heroes, who attempt to possess them, are the women whom men can live without.<sup>30</sup>

Maria does not really complicate Jordan's life, because she does not affect his self. To live authentically, to constantly exercise initiative, Jordan must remain essentially alone with no complications to the self. Maria quotes Pilar as saying that "nothing is done to oneself that one does not accept."<sup>31</sup> And this, as well as Jake Barnes's statement on Romero, re-emphasizes the importance of the self--the self alone--in regard to initiative. Jordan constantly tells Maria, "'What I do now I do alone.'"<sup>32</sup> Even when he is concerned for Maria--when his outward performance may be for her--it is the inner self which dictates action. Jordan tells himself, "The best thing you can do for her is to do the job well and fast and get out, and thinking of her will only handicap you in this. So do not think of her ever."<sup>33</sup> The non-involvement of the self is necessary even in exer-

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<sup>30</sup>Ibid., p. 89.

<sup>31</sup>Hemingway, For Whom the Bell Tolls, op. cit., p. 73.

<sup>32</sup>Ibid., p. 463.

<sup>33</sup>Ibid., p. 394.



cising initiative for others; i.e., the initiative must be exercised for the self; then only can it involve others.

### III. THE OLD MAN AND THE SEA: SANTIAGO

Unlike Jake Barnes and Robert Jordan, Santiago of The Old Man and the Sea is not involved in a sexually-oriented relationship with a specific woman. His ego and self-fulfillment place him beyond sexual involvement. But he is involved with a mythic feminine entity, the sea, with which he is integrated yet over which he can exercise control in the sense that he can choose the manner and the situation of his extension.

Santiago's involvement with the sea has some tones of a lover-mistress relationship in that he, in a sense, courts her, but the relationship is largely that of mother-son.

He always thought of the sea as la mar which is what people call her in Spanish when they love her. Sometimes those who love her say bad things of her but they are always said as though she were a woman. Some of the younger fishermen . . . spoke of her as el mar which is masculine. They spoke of her as a contestant or a place or even an enemy. But the old man always thought of her as feminine and as something that gave or withheld great favours, and if she did wild or wicked things it was because she could not help them.<sup>33</sup>

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<sup>33</sup>Ernest Hemingway, The Old Man and the Sea (New York: Charles Scribner's Sons, 1952), pp. 29-30.

The mother-son relationship is emphasized with Santiago's concept of the marlin as his brother. This marlin is the most magnificent, the most worthy creature of the sea Santiago has ever seen. When he kills the marlin he, in effect, becomes the sea's greatest or most worthy son and thus reinforces both his aloneness and his integration and unity with the sea.

The sea is an encompassing, mythic feminine entity and, as woman and mother, is protective and jealous of her son, the old man. She "withholds or grants her favors," yet Santiago, through long interaction with her, knows that he can control and manipulate her--he can dictate, to a large extent, those favors which she grants to him. His catch is made away from the community of men; his greatest victory is achieved when alone with the sea. As the masculine aggressor, the fisherman, exercising initiative in regard to the sea is Santiago's natural avocation. "Now is the time to think of only one thing," he says. "That which I was born for."<sup>34</sup>

Santiago risks no loss of self in his relationship with the feminine sea because the sea is a part of his self. He has learned initiative through integration with the sea, and so the relationship is a benevolent one. We are told,

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<sup>34</sup>Ibid., p. 40.

"Everything about him was old except his eyes and they were the same color as the sea and were cheerful and undefeated."<sup>35</sup> He is able to accept the loss of the marlin because he retains his self. His aloneness with the sea at the time of his experience has strengthened his inner self and made him able to accept loss upon attempting to share the fruit of his initiative with those who are alien to the sea. Santiago's relationship with the sea--the feminine entity--is in no way a stifling one or one which limits his exercise of initiative; it is a completely integrated, self unifying relationship. There is no question of surrender because of this unity, and such a relationship serves to strengthen the self and thus to facilitate the extension of self.

#### IV. SUMMARY

In looking at the three heroes in regard to initiative as related to their involvement with women, we find that Jake Barnes of The Sun Also Rises does not possess the capacity to exercise initiative within the man-woman relationship. In a perversion of the masculine-feminine roles, he surrenders his self to Brett, thus permitting her to sap his initiative and assume an assertive stance while Jake remains passive and subservient. This surrender renders the self incapable of

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<sup>35</sup>Ibid., p. 10.

extension, of control and manipulation.

Robert Jordan of For Whom the Bell Tolls retains initiative within the man-woman relationship because he does not lose his self in Maria. He remains in control, capable of extending himself and manipulating the circumstances of the relationship. It is his involvement with the group as a whole rather than his involvement with Maria that limits Jordan's initiative.

Santiago of The Old Man and the Sea is involved with the sea, a feminine entity or principle rather than with a specific woman. His relation with the sea is an integrated relation. He is completely at one with the sea, and this unity retains and strengthens the self. The self, thus strengthened, is capable of extension, of control and manipulation within the context of Santiago's involvement with the sea.

The hero's involvement both with women and with the group affects his ability to exercise initiative. Usually this effect is related to the extension of the self. The hero's interaction with the group and with women tends either toward the loss of self or toward the strengthening of self and thus toward defeat or undefeat.

## CHAPTER IV

### INITIATIVE AND THE MOVEMENT FROM DEFEAT TO UNDEFEAT

The heroes of Ernest Hemingway's early fiction are defeated heroes; those of his later fiction, undefeated. The concept of initiative as an extension of the self which can control and manipulate circumstances is one of the terms through which the change from defeated to undefeated status can be traced. In viewing the heroes of The Sun Also Rises, For Whom the Bell Tolls, and The Old Man and the Sea in regard to their ability to exercise initiative within the context of their respective "groups" and within their man-woman relationships, it becomes evident that Jake Barnes is defeated both in his involvement with the group and with women; Robert Jordan is defeated in regard to the group but undefeated in regard to women; and Santiago is undefeated in regard to both the group and women.

The hero's ability or inability to exercise initiative, as the definition implies, depends upon the extension of the self; thus initiative becomes primarily an internal matter and the hero is defeated or undefeated in proportion to the supremacy of the self and the resistance to any potential loss of self.

I. THE SUN ALSO RISES: JAKE BARNES

Jake Barnes, through his willing and knowing loss of self, is able to exercise initiative neither in regard to his associates nor himself and is thus defeated. He suffers this loss of self to his group and to Lady Brett Ashley, not on their behalf but at their behest; he is not selfless in the common sense of the term, but is self-less.

Much has been said of Jake's "wound" which, by its very nature, is psychic as well as physical.<sup>1</sup> But his psychic impotence, as distinct from his psychic wound, is a result of the weakness of self. The self, in order to be extended, must be unified and, if affected by interaction with the group or with woman, must be strengthened by this interaction. Jake, however, diffuses his self in his attempted retreat into the identity of the group and in the surrender of his masculinity to Brett. Since his self is thus diffused, it is incapable of control and manipulation. Jake's loss of self stems from his unwillingness to become aware of and to accept that self. By diffusing himself into his group, the necessity of this awareness and acceptance is shuffled onto the responsibility of others, and extension and initiative become impossible.

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<sup>1</sup>For example, Killinger in Hemingway and the Dead Gods, Sheridan Baker in Ernest Hemingway: An Introduction and Interpretation, and Earl Rovit, Ernest Hemingway.

By surrendering his assertive masculine identity to Brett in the lover relationship, Jake places himself under her control and manipulation. By offering himself as something to be controlled and manipulated, Jake actually strengthens Brett's capability of initiative which, in turn, saps his initiative. Brett, then, incapacitates Jake because he permits her to. He resists, rather than a potential loss of self, any potential gaining of self and any action he takes is neither by or for himself.

Within these circumstances, initiative, for Jake, would consist first of actions by which he would free himself from the group and from Brett, since the self would have to be regained in order to be extended. But since he does not want to free himself, he cannot free himself. His loss of self is permanent; thus his incapacity for initiative is permanent, and he is defeated.

## II. FOR WHOM THE BELL TOLLS: ROBERT JORDAN

Whereas Jake Barnes is defeated in relation to his involvement both with the group and with woman, Robert Jordan is partially defeated in regard to his group and undefeated in regard to woman. Jordan's group is limiting, since it places demands on his initiative, but Maria offers no demands and leaves him free.

Since Jordan, by placing himself under orders, must act as a part of his group, his ability to control and manipulate circumstances does not work solely for his self; i. e., his self is not diffused, but is extended for the group and his control and manipulation of circumstances are diffused into the group. Jordan resists the potential loss of self to the group but, in regard to the group, potential loss does exist, whereas with Maria, it does not. Jordan's exercise of initiative within the context of the group tends to involve him with, rather than free him from, the group and is thus limited.

Jordan's relationship with Maria places no demands upon his initiative, for he in no way permits his self to become submerged in Maria. Maria loses herself to Jordan, thereby strengthening his self and his ability to control and manipulate the circumstances of their relationship. When he is acting for her, he is essentially acting for himself because of her submersion in him. He remains alone, his initiative reinforced, not hampered, by his involvement with Maria.

### III. THE OLD MAN AND THE SEA: SANTIAGO

Because Maria becomes a part of his self, Robert Jordan remains undefeated within the context of their re-



relationship; his group, however, is alien to his self and initiative exercised within their context is limited. Santiago of The Old Man and the Sea operates within a milieu with which he is totally integrated. He is undefeated in his relationship with his "group" and with the feminine entity, the sea, because they, being components of his self, reinforce his initiative.

Santiago is no real part of the community of men; he is part of the sea and the things of the sea are his "group"--are part of his self, yet the self remains supreme. His identity is one with the feminine entity, the sea, and because of this unity, he is able to realize and accept the necessity of aloneness in his exercise of initiative. He is integrated with the sea, yet is in control in that the manner of his extension is self-generated within a situation of his own choosing. The sea does not sap his initiative but rather strengthens it because she is as much immersed in the old man as he is immersed in her. Santiago is undefeated because he exercises initiative in the right direction; he controls and manipulates those circumstances pertaining only and directly to the self and is strengthened by his exercise of initiative.

The hero, then, moves toward defeat as he is capable of retaining self and when his exercise of initiative complements the self. This is accomplished when those circumstances

which he controls and manipulates are integrated into the self. Diffusion or extension on alien circumstances involves loss of self and thus defeat.

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