BEYOND HIGH FANTASY:

TRACING THE ANCIENT ROOTS OF TOLKIEN'S *THE HOBBIT*

Dr. Ferhat ORDU

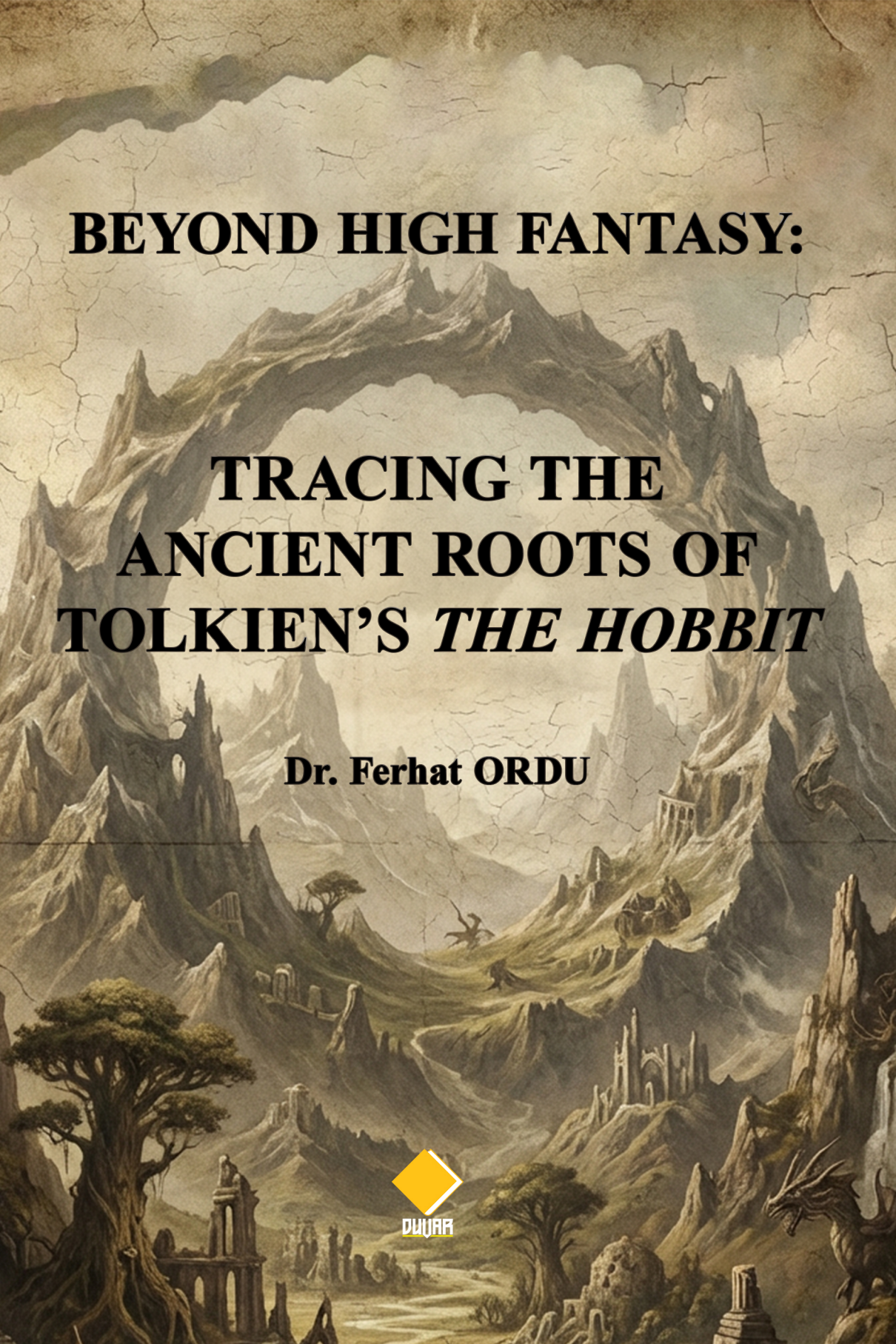

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TABLE OF CONTENTS

FOREWORD

The inspiration behind this book lies in Ray Bradbury's quotation, which talks about the push to leave something behind:

Everyone must leave something behind when he dies, my grandfather said. A child or a book or a painting or a house or a wall built, or a pair of shoes made. Or a garden planted. Something your hand touched some way, so your soul has somewhere to go when you die, and when people look at that tree or that flower you planted, you're there. It doesn't matter what you do, he said, so long as you change something from the way it was before you touched it into something that's like you after you take your hands away (Bradbury, 20008, p. 200).

To my family …

Introduction: Re-Evaluating the Genre of Middle-Earth

Since its publication in 1937, J.R.R. Tolkien's *The Hobbit* has been firmly cemented by critics and scholars within the canon of the fantasy novel. However, this categorization often overlooks the profound influence of the ancient myths and cross-cultural folk tales that Tolkien studied throughout his academic life. While the traces of these myths are visible, the specific structural elements of the fairy tale genre within his work have historically been underrated.

This book aims to rectify that oversight by exploring the fairy and folktale elements inherent in *The Hobbit*. The primary subject of this research is the application of Vladimir Propp's structuralist work, *Morphology of the Folktale* (1968), alongside other worldwide accepted encyclopaedic definitions, to identify these genre-bending qualities. The purpose is not merely to reclassify a classic but to reveal the common principles shared between Propp's strict morphology and Tolkien's narrative, thereby challenging the rigid categorization of fantasy works.

Methodology and Hypothesis

This study employs a cross-genre comparative methodology. Initially, it establishes operational definitions for fairy and folktale genres, drawing upon canonical archival and encyclopedic sources, which are subsequently illustrated through paradigmatic textual exemplars. Following this foundational terminological framework, Propp's Morphology of the Folktale is subjected to analytical scrutiny to elaborate and systematize the constitutive narrative qualities of these genres. This morphological framework is then utilized as an analytical heuristic to identify and verify the presence of these structural qualities within a selected work of fantasy literature.

The investigative premise is that ostensibly distinct genres may share underlying structural foundations. Consequently, an analytical model originally developed for the identification and dissection of folktales possesses sufficient transposable validity to be productively applied to the fantasy novel. This premise generates two core research inquiries: What is the measurable degree of structural parallelism between these independent genres? Furthermore, if the congruence is substantively significant, does it merit a taxonomic re-evaluation of the fantastic work within the broader folktale tradition?

Scope and Structure

The study is organized into three distinct sections. Chapter I establishes the general characteristics of fairy tales, providing examples and identifying their counterparts within *The Hobbit*. Chapter II delineates the specific "Tolkien-style" fairy tale using examples from his broader body of work, while Chapter III conducts the primary cross-genre analysis using Propp's functions.

However, this approach is not without its limitations. Propp's *Morphology* was designed for fairy tales—narratives that are traditionally short, direct, and easy to follow. In contrast, *The Hobbit* is a complete novel spanning 19 chapters with a complex web of major and minor events. Consequently, applying specific morphological functions to a non-linear, lengthy storyline presents significant difficulties in tracking the direct narrative trajectory Propp envisions. Despite these challenges, the study demonstrates that *The Hobbit* possesses a high density of fairy elements, bridging the gap between the ancient oral tradition and the modern fantastic novel.

1. Chapter One: Once Upon a Theory: From the Collective Unconscious to Propp's Morphology

1.1. Folk and Fairy Tales

It has been often debated by critics such as Walter Benjamin, Kristian Moen, Ruth B. Bottigheimer, and even the famous British novelist Charles Dickens, that fairy tales among their many other uses as a literary genre, were not merely a tool to entertain children, but the most effective teachers for both young people and adults to learn some morals, traditions, cultures of nations and so on. As for the educational importance of fairy tales in the lives of mankind, for example, Walter Benjamin (2006) argues that "The fairy tale, which to this day is the first tutor of children because it was once the first tutor of mankind, secretly lives on in the story" (p. 157). The fairy tale has stemmed from the oral tradition where the old generation coincided with the new generation and the old generation told the young generation about their past experiences while the young generation listened to and *learned* from these tales. Ioana Lepadatu (2010) stresses on therapeutical and didactic use of fairy tales on society in her article *"Once Upon a Time..."* as "Stories, tales, myths, fables, parables, artistic productions, poetry, jokes are tools of popular therapy and pedagogy; with their help people had helped themselves long before the development of psychotherapy" (p. 329). In her book *Film and Fairy Tales,* Kristian Moen (2013) argues that "… the féerie's visual pleasures offer a sense of the ideal" (p. 21). This search for the *ideal* in fairy tales is also very important socially because the transformation of experience from the older generation to the younger generation is also a direction to the best as these tales praise the ideal. What storytellers depict as a good character in a fairy tale is so ideal that most people who listen to or read it also desire to be so and desire to achieve his or her victory at the end of the tale. Likewise, the bad character is ruined so catastrophically that nobody wants to be in their place. Famous British novelist Charles Dickens strictly criticizes George Cruikshank who revised fairy tales and in the created versions made use of them for didactic and moralistic purposes in his article "Frauds on the Fairies" (1853). Dickens rejects this use of fairy tales because "To preserve

them [fairies] in their usefulness, they must be as much preserved in their simplicity, and purity, and innocent extravagance, as if they were actual fact" and he warns that "Whosoever alters them to suit his own opinions, whatever they are, is guilty, to our thinking, of an act of presumption, and appropriates to himself what does not belong to him" (p. 97). Moreover, Ruth B. Bottigheimer states the importance of fairy tales on social life in his book *Fairy Tales: A New History* (2014) that "… listening to a magic tale ensures a conscious awareness of a transcendent moral, ethical, or religious framework for a magic tale's reception…", and he adds that "Authors must have borne in mind the social effect that a literary, social, or religious framing might have had on readers' and listeners' responses …" (pp. 5-6). Hence, the messages or moral rules in a fairy tale are so socially important that the repeatedly told fairy tales must have been edited or changed for the use of the moral values of the time.

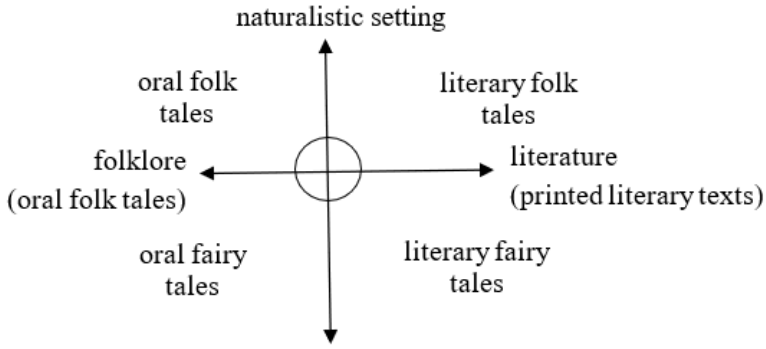
Not only in social life, but also in the literary world, the importance of fairy tales and folktales had been for a long time undermined by literary critics as a literary genre. But fairy tales have recently started receiving attention in that fairy tale is seen as a reflection of life and vice versa: that is, fairy tales are so closely interwoven with the daily lives of people. For example, Jack Zipes (2012) claims that fairy tales are connected to our real experiences in life even though people tend to believe the opposite. "We ward off fairy tales and pretend that they are intended mainly for children …" (p. 96). No matter how hard we try to believe that they are only made up of pastime stories for children, it is inevitable that they will give sound clues about the period they were written and are as much worthy as other literary genres in order to have an inner understanding of the time they were created or all those times and generations they were passed through until this day. Lepadatu contributes to Zipes' criticism stating that original target audience for fairy tales were adults until the 19th century when they were started to be written for children (2010, p. 328). Zipes goes on even further with his opposing views which state that the world created by fairy tales is nothing but imagination, away from reality, full of creations and has nothing to do with the facts of life, and he continues to claim that the world inside fairy tales is much more realistic than the one depicted in so-

called realistic works of art. In his view, fairy tales talk about real events more than we are ready to accept and “we absorb fairy tales because they tell us more truth than we want to know” (Zipes, 2012, p. 96). Fairy tales are composed of devotion and good intentions. They sprinkle smallest pieces of cruelty, frankness, brutality, and corruption. They reveal lies and deficits [just like real life], among the best, are the ones which are with pure, direct and sharp messages and he keeps on stating that they create “another world, a counter-world”, where “social justice” can be attained easier than our existing world, where “hypocrisy, corruption, hyping, exploitation and competition” are the determiners of the result of social or political relations and broken social interactions (p. 96). The realism inside a fairy tale might seem fairly unrealistic; however, it stems from its being significantly brave enough to reflect the ugliest and the most beautiful reality with its most concrete and fierce qualities without hiding anything or fearing any kind of possible reactions. In this respect, it takes its power from its background which is older than any of the known literary genres: that is, it is as old as the human history. For instance, Zipes discusses that soon after the human beings achieved the ability to speak, they started to tell tales, and for him, it could be even older because he thinks people may have also applied a kind of body language [for story telling] before the ability of speech, the body language they used for their most important needs to survive in life (p. 96). According to Zipes, it would be a big mistake of scholars to define the fairy tales as a literary genre of children, and this book will argue just the same with what Zipes has stated above: that is, it will debate that fairy tales have played important roles in the lives of adult people by forging and maintaining reality at the levels of imagination and concreteness. While comparing the works of world literature and fairy tales, Roberta Hoffman Markman claims "there are some obvious dangers in juxtaposing a study of the fairy tale with more sophisticated, complex works of literature. It is always possible that some student will leave the class with the memory that Moby Dick is "just like" Lucius Apuleius' "Amor and Psyche" or that all dumplings are ultimately the heroes of the world" (1983, p. 45). In order to depict a clear solution for comparing fairy tales and other literary texts, in her book called *The Hard Facts of the Grimm's Fairy Tales* (1987), Maria Tatar draws a

schema that shows the chronological pass from fairy tales to literary tales shown below:

folklore (oral folktales) → Grimms' literature Nursery and Household Tales → (printed literary texts) (p. 33)

Tatar's following schema in the same book is very important in terms of highlighting the differences and similarities between folk tales and literary tales shown below:



Since it is an introduction, this chapter first focuses on definitions of both folk tales and fairy tales. Then it debates their characteristics in a comparative way with examples from famous samples of their kinds concerning their differences and similarities. Moreover, the chapter also discusses the Russian folklorist and scholar Vladimir Propp's *Morphology of the Folktale* (1968) because Propp systematized characteristics of folk and fairy tales to label a literary work as a folk tale or a fairy tale. Why Propp's *Morphology* is debated here is because of the fact that some of these characteristics systematized by Propp could be applied to J. R. R. Tolkien's *The Hobbit* (1937), which is the primary text for this book. To prepare the ground for the debates on *The Hobbit* as a fairy work in the ensuing chapters, therefore, this chapter will explain the *Morphology* in detail, clarifying it with examples from well-known works in the field.

1.2. Fairy/Folk Tales and Their Characteristics

The terms fairy tales and folktales are interchangeably used through this book because these terms are often employed for similar purposes not only in reading a literary work but also in literary discussions due to their overlapping characteristics.

Thus, Zipes was right when he stated that in "the oral [folk] and literary [fairy] traditions", there are several different types of tales that were inspired by the motifs of cultures so it is not possible "to define a wonder folk or fairy tale", or clarify the interaction between the two types of reflection" (2012, p. 3). In addition, it is also a technique that scholars use only one of these terms as they mean the same thing. For Zipes, the borders of the terms folktale and fairy tales and their sub-categories cannot be drawn with sharp lines and "in fact, together, oral [folktales] and literary [fairy] tales form one immense and complex genre because they are inextricably dependent on one another" (p. 2). For example, Zipes also uses the term "fairy tale" throughout a chapter of his book called *The Irresistible Fairy Tale: The Cultural and Social History of a Genre* (2012) as it is the "modern term". He accepts that there are useful sources trying to help to sort out the differences between these two terms like *The Types of the Folktale* (1928) which was written by Antti Aarne and Stith Thompson, *Oxford Companion to Fairy Tales* (2000) written by Jack Zipes, *Ariadne's Thread: A Guide to International Tales Found in Classical Literature* (2002) written by William Hansen, *Greenwood Encyclopaedia of Folktales and Fairy Tales* (2007) which was written by Donald Haase, and the project *Enzyklopädie des Märchens*, began in 1958 and has still been developing. However, they are not satisfying enough to convince Zipes because he believes they are dependent on each other so that they cannot be separated. According to him, it was a struggle of at least three centuries that scholars and critics tried to make a definition and classification of "oral folk tale" and "literary fairy tale". However, it is not possible to tell the differences or follow the original sources of these two "because there are very few if any records with the exception of paintings, drawings, etchings, inscriptions, parchments, and other cultural artefacts that reveal how tales were told and received thousands of years ago" (2006,

p. 42). Jack Zipes also explains his rejection in his phenomenal book *The Irresistible Fairy Tale* stating that "folklorists" generally try to make a separate definition of "wonder folk tales" which comes from the "oral tradition" all around the world and still continue, and "literary fairy tales" that also originates in "oral tradition" and continues its existence in the world today by the assistance of "the mediation of manuscripts and print" and in different forms. (2012, pp. 2-3).

According to the definition in the online dictionary of Merriam Webster (2016), "[a folktale is] a characteristically anonymous, timeless, and placeless tale circulated orally among a people". This definition gives us some clues about the characteristics of folktales. First, they are "anonymous" because they do not have a specific author, but they belong to a nation and its culture, they have "archivists" or "collectors" like Grimm Brothers and Charles Perrault. Moreover, folktales are "timeless", and they generally start with phrases like "Once upon a time . . ." or "Long, long ago…" which draws attention to a distant and unknown past. Besides, folktales are "placeless": that is, the setting is a forest as in "Little Red Riding Hood" or as in its other version "Little Red Cap" as Brothers Grimm named it. For instance, the setting is "by a stream in the forest" in "The Princess and the Frog", yet nobody knows exactly where on earth the landscapes of these places are. These qualities give folktales a sense of universality: that is, folktales have no author, no place and no time, but they are the product of long-standing common cultural heritage of mankind. Katharine Briggs (2002) takes this argument to a different perspective in her book *The Fairies in Tradition and Literature* mentioning a belief accepted throughout the word that "time in Fairyland" flows much faster than it flows in the real world. Actually, "in Fairyland it can hardly be said to pass at all …" (2002, p. 123). In the book *The Ancient Art of Faery Magick* (2011), D.J. Conway contributes to this timelessness idea or a different time format idea saying, "Faery Land" and the physical world function in completely diverse time zones, you could even state that they do not function in any defined time form (p. 6). Dani Cavallaro (2011) summarizes this view in his book *The Fairy Tale and Anime* stating that the continuing struggle of some authors like Angela Carter, Robert

Coover, Salman Rushdie, Margaret Atwood or A. S. Byatt or Jeanette Winterson to stress on the problems of the modern world we live in may look contradictory to the formula it achieves a timeless and otherworldly image simply with the phrase “Once upon a time”. However, past repeats itself again and again and we all know that the present is an imitation of pieces of different past happenings and it foretells about the future that we cannot comment about. That is why the formula of the fairy tale seems quite convenient to establish a tie between the ancient experiences and modern fiction (p. 93). What Cavallaro and others stress here is that a unique quality about fairy tales and folktales is “Faërie breathes, laughs, cries and sings *all around us and all the time*” (p. 145).

For the cases of both indefinite time and space, Alan Dundes in his book *The Meaning of Folklore* (2007) states that the fairy-tale shows up “once upon a time”, which is not inside the concept of time and place we normally understand; however, this gives it the quality to be able to be told as if it is happening here and now (p. 137). As quoted in *The Oxford Companion to Fairy Tales* (2000) Kurt Ranke who founded the *Enzyklopädie des Märchens*, has a view parallel to this. He defines the folk tale as “‘a magic narrative that is independent of the conditions of the real world with its categories of time, place, and causality, and which has no claim to believability'” (as cited in Zipes, 2000, p. 163). The time and space topics mentioned and explained as two important qualities of fairy/folktales above will be explained in detail while examining *The Hobbit* in the later part of the book.

As for characterization, folktales represent traditional realist views in that characters, as in *Beauty and The Beast*, *Little Red Riding Hood* and *Keloğlan*, are everyday people. Marie-Louise von Franz in her book *Archetypal Patterns in Fairy Tales* (1997), claims that you have three different kinds of characters in fairy tales. Firstly, fairy tales generally have heroes like princess or princesses. Secondly, they have “anonymous nobodies” or people who do not have a social prestige like a rank or a status. Some examples of these could be “a poor devil, a soldier who has deserted, or someone stupid whom everyone despises, a Dummling, or a dwarf like, crippled person”. In the third group, there are people whom we

call ordinary, like people you interact with daily: a villager or his son, or a person who earns his life hunting or fishing. These characters mentioned here constitute about 98 percent of all the heroes that take place in fairy stories (pp. 13-14). As in a typical realist literary work, there are good characters and bad characters in folk and fairy tales, and the distinction between them is very strong with their appearance and qualities. In *Snow White,* for example, Snow White as a character named by Brothers Grimm stands for beauty, as well as for good-heartedness, while her stepmother (the queen) is neither beautiful nor good in her heart. The binary opposition between good characters and evil characters is made so certain with both their physical appearance and personal qualities that the reader has no doubt about them once the story ends. As for good and bad characters, Tereza Havířová points out: Fairytale establishes a simple way of reflecting reality "in terms of good and evil". As the original target reader and audience of the fairy stories were children rather than adults, the message hidden behind a fairy tale through good characters and bad characters had to be direct and easy to attain. "There is no doubt whether Red Riding Hood or Jack is good and the wolf or the carnivorous giant bad." The characters in a fairy tale are completely good or completely bad. This characterization cannot include "complicated inner conflicts and dilemmas" which might cause confusion (2005, p. 18).

There are several ideas on the characterization of folk/fairy tale characters. One of the most important ones is "Dramatis Personae" coined by Vladimir Propp in his work *Morphology of the Folktale*, and this character type will be debated in the book since this kind of characterization is employed in *The Hobbit.* Another view of characterization is invented by the Swiss folklorist Max Lüthi. Lüthi explains the style of fairy tales with some words like "one-dimensionality", "abstraction", "isolation" and "universal connection" (as cited in Zipes, 2000, p. 169). As discussed later in the book, the hero of *The Hobbit,* Bilbo's tendency towards extremes between his adventurous "Took side", and domestic and lazy "Baggins part" stated in various parts in the book is a good example for Luthi's claim. Moreover, the passage of Bilbo and his friends from the real world into the magical world or vice versa without sound explanations is also a

good example for the term "one-dimensionality" according to Lüthi who explains this term in the aforementioned text cited by Zipes.

Another aspect of the character in the fairy tale that will be analyzed in relation to *The Hobbit* in the following chapter is that "… fairy-tale characters always seem to be lying, cheating or stealing their way to good fortune" which matches perfectly well with the character types in Tolkien's book (Tatar, 2002, p. xiv).

In folktales, moreover, there is generally a competition between good and bad characters. Good characters, who are traditionally accepted, are expected to beat bad characters (monsters, dragons, witches, etc.) to reach a satisfactory, happy ending in line with expectation and interest of common-sense and public interest as in a traditional realist fiction of the nineteenth century. In a research project, Chenchen Zhou has found common characteristics between western folktales and Chinese folktales. Not surprisingly enough "justice over injustice, wisdom over strength, good wins over evil, cleverness and resourcefulness" are common themes discovered, and Zhou has come to a conclusion that "Even though Western culture and Chinese culture are very different" good characters defeat evil characters at the end of the tales *Cinderella* and *Yeh-Shen* this good-ending gives people courage against an unfair incident, teaches them to be hopeful and to pursue happiness bravely (Zhou, 2013, p. 14).

Besides, there are also certain phrases often repeated in folktales. For example, the phrases, "I'm looking out my little window and I see that you're resting. Get a move on" are repeated three times in Brothers Grimm's "Fitcher's Bird" and of course the famous phrase "Mirror, mirror, on the wall…" in "Snow White" is repeated several times throughout the folktale. As Susan R. Gannon (1987) explains, it is a characteristic of children's literature which you can come across very frequently. It makes the "narrative for young readers" clearer and increases memorability rate of the material they read. It also "adds rhythm and the mysterious charm of ritual to the simplest of verbal formulas. It offers the pleasure of extended suspense and delayed gratification to even the youngest audience" (p. 2).

In addition to these, especially the young learn and entertain through chants and rhymes, and it ensures memorability of the work being told or read. Even most of the popular songs today have a memorable and an easy repetition of rhythms and lyrics which contribute to the popularity of the songs and consequently of the singer. It is not surprising for a story-teller or entertainer of dull and dark nights to put repetitive elements to make his/her tales popular and among the ones orally told from generation to generation or to make them memorable and entertaining. It is also very common that folk and fairy tales have a "moral" lesson in the end, which gives some suggestions and advice to the reader about how to be kind and good to other people. There are also some warnings in the folktale as given in the example below from *The Classic Fairy Tales*:

From this story one learns that children, Especially young girls,

Pretty, well-bred, and genteel,

Are wrong to listen to just anyone, And it's not at all strange,

If a wolf ends up eating them. I say a wolf, but not all wolves Are exactly the same.

Some are perfectly charming, Not loud, brutal, or angry,

But tame, pleasant, and gentle, Following young ladies

Right into their homes, into their chambers,

But watch out if you haven't learned that tame wolves Are the most dangerous of all (Tatar, 1999, p. 13).

Moral parts at the end of most stories emphasize the tutoring function and give us clues about the values of the past. Old and experienced story-tellers were narrating these stories to both children and adults gathering in a certain place, and they were adding moral parts to the end of the fairy tales so that they could serve their didactic characteristics. Not all the tales have a separate part which clearly reveals the moral of the tale, there are also the ones which hide symbolic oral messages for the reader. These messages can be found especially in the revised versions of the original folk tales trying to reflect the moral values of the time and trying to add literary values to the original text. Charles Perrault seems to be the most

popular collector of folk tales to add moral values at the end of the tales. According to Zipes, this is because he wanted to "make it the literary standard-bearer for good Christian upbringing in a much more sophisticated manner than Egbert or oral storytellers", and he does not hesitate to go any further saying that Perrault's anxiety of the female sex and his personal sexual desires are connected in his newly created literary versions of fairy tales. We have to keep in mind that these imitations also reveal general sexual attitude of males towards females that they are always ready to be sexually abused (2006, p. 35). *The Story of Grandmother*, today is known by the name *Little Red Riding Hood* in Perrault's version, does not only lose its original name but also has some other changes. The character wears a red hat, "making her into a type of bourgeois girl tainted with sin since red, like the scarlet letter A, recalls the devil and heresy"; the character is "spoiled, negligent, and naive"; she is dumb enough to make an agreement with a wolf-a stranger and to believe that she will be able to trick him, and she is eaten or sexually abused after her grandmother without any form of survival. There is only "an ironic moral in verse that warns little girls to beware of strangers", or else they will have to pay for the unwanted results. For example, having a sexual intercourse is always disgraceful and unacceptable. Flirting with the other sex before marriage is as unacceptable as rape, and rape is considered always because of careless attitudes of the female sex (pp. 35-36).

Apart from the didactic aspect, folk and fairy tales also represent their good characters in a way that they use trick or magic of some kind to achieve this end for the public expectation in the traditional societies. When it comes to magic, in addition, literary critics, who are interested in folkloric elements in literature, make some distinctions between folktales and fairy tales - the distinction which is related to the use of magic in folktales. For example, they argue that if a folktale includes magic of some kind or supernatural beings such as elves, ogres, witches, fairies or unicorns, it is named as a "fairy tale". Fairy tales are parts of the folktales, folktales are parts of people's culture and tradition. Most of them talk about supernatural figures. Another aspect of the folkloric characteristic is that the setting and subject matter of a folktale are closer to daily life and farther

to fiction. On the other hand, fairy tales are tales of fairies: that is, they have fictional beings, so that they, unlike a typical realist literary work, are farther away from subject matters and setting of daily life. J. R. Rowling mentions the magic in Grimm's fairy tales as are whisperers from the ancient atmosphere, where there was a possibility for a child die of hunger in the forest and so forests were not appropriately safe places for children; however, there was treasure and magic in the forests: Animals has *[sic.]* the ability to speak, and people had the ability to change their appearance if they wished to do so (as cited in Zipes, 2015, pp. 34-35). Moreover, Zipes states inside the fairy tale tradition there is a lot of "magical or miraculous transformation" and binary oppositions of moral values which form the primary qualities of fairy tales (2015, p. 110). Eric Rabkin contributes to this claim saying, it is not surprising for both characters and readers of fairy tales "when animals speak or magic spells work" (1979, p. 21).

Coming from the oral tradition, the folktale prepares the ground not only for the history of fairy tales but also for the shifting history of nations throughout history. Folktales were collected and put into written forms, and later, they started to be called as fairy tales. Hence the folktale is the story of oral tradition, whereas the fairy is in the written form, suggesting a view of improvement and advancement in the human civilization. Folktale, a product of oral tradition, moved on towards fairy tale which is a product of written or literary tradition; in doing so, it has changed and has been edited according to the new needs of the new period: that is, like the remarkable evolution of living beings, the oral folk tale also evolved and turned into the literary fairy tale form. It did this so that we can cope with "the absurdity and banality of everyday life" (Zipes, 2006, p. xii).

When it comes to the definition, borders and limits and characteristics of fairy tales, there are many different debates. As Elizabeth Harries (2001) states in the introduction part of her book *Twice upon a Time* that defining a fairy tale with a few words is very difficult and it ends up with shortcoming of most of the dictionaries in a way or so (p. 6). But Harries's statement does not mean that there is no definition of the fairy tale. Of course, there are commonly accepted definitions which give some ideas

about the fairy tale, its subject-matters, characters, similarities to and differences from other literary genres and so on. For J. R. R. Tolkien, for example, "fairy stories are stories of fairies", and he continues to state that "Faerie is a perilous land, and in it are pitfalls for the unwary and dungeons for the overbold" and he adds that "Faerie contains many things besides elves and fays, and besides dwarfs, witches, trolls, giants, or dragons: it holds the seas, the sun, the moon, the sky; and the earth, and all things that are in it: tree and bird, water and stone, wine and bread, and ourselves, mortal men, when we are enchanted" (2008, p. 315). He emphasizes that the word fairy is not so brief as dictionaries put it. Moreover, Donald Haase, a scholar, and editor of *The Greenwood Encyclopedia of Folktales and Fairy Tales*, tries to make some explanations on the term; however, he states that even though the term might seem easy to define as it is easily coined several times in our daily lives, we have to accept that it does not have a definition which can be accepted universally or which could satisfy people all around the world. Some try to explain it with some qualities while for some other people it is a general term which has some sub-categories underneath. He claims that the existing definitions generally target common qualities of world-wide known stories like "Cinderella," "Little Red Riding Hood," "Hansel and Gretel," "Jack and the Beanstalk," etc. (2008, p. 322). Haase argues that most of the definitions in the dictionaries for fairy tales concentrate only on a few of the popular samples of the kind and lack a comprehensive definition which can be adjusted to all fairy tales and trying to do such a thing is almost impossible because there are too many variables of fairy tales to be gathered under one single definition. Tolkien's defining seems the most enlightening one about fairy tales and gives the reader some clues about the slight differences between fairy tales and folktales apart from their oral or written origins.

The second critical difference is that folktales feed themselves from natural beings such as animals, people, and plants, while fairy tales feed themselves from supernatural beings like trolls, witches, and giants. As mentioned above, the first told tales could be categorized as folktales and then came fairy tales which were even more enriched as a result of the heritage they gained from their ancestor folktales. The first stories were

about daily events or interesting experiences which were told and diverted through several times of narration. The subject matter was daily experiences, and the characters were common people who had uncommon experiences. People who started recording these stories started using magic and imagination, and the diversion took the form of fiction, leading to the emergence of the fairy tales. Zipes states that throughout the period when there was an abundance of stories being narrated world-wide, the stories which also formed the origins of fairy tales, paradoxically, tales which did not actually contain fairies. The only medium to make them more attractive for the audience was reflecting the experience using exaggeration generally through metaphors. These first stories with personal exaggerated experiences inspired to "create and re-create gods, divine powers, fairies, demons, fates, monsters, witches, and other supernatural characters and forces." That's why according to Zipes, the world in fairy tales is very life-like with the contributions of the story-tellers (2012, p. 4).

As for basic characteristics and plot components of folk and fairy tales, it is Vladimir Propp, who made a detailed study in his *Morphology of the Folktale*. In his *Morphology*, which has drawn the attention of many critics in positive and negative ways, Propp systematized and decided certain qualities by which characterized a tale either folk tale or not. Hence the rest of this chapter will focus upon Propp's *Morphology*, as well as upon his views of what makes a tale folk or fairy. No matter which geographical, historical or ethnical background the story belongs to, the folktale has a fixed theme which only differs slightly from one folktale to another. It is this uniformity which has kept folktales for centuries without being lost or forgotten within the dusty storerooms of the "collective unconscious", a critical term coined by Carl Gustav Jung. In his book *The Archetypes and the Collective Unconscious*, he explains the term as

A more or less superficial layer of the unconscious is undoubtedly personal. I call it the *personal unconscious*. But this personal unconscious rests upon a deeper layer, which does not derive from personal experience and is not a personal acquisition but is inborn. This deeper layer I call the *collective unconscious.* I have chosen the term "collective" because this part of the unconscious is not individual but universal; in contrast to the personal psyche, it has contents and modes of behavior that are more or less the same

everywhere and in all individuals. It is, in other words, identical in all men and thus constitutes a common psychic substrate of a suprapersonal nature which is present in everyone of us (Jung, 1981, pp. 3-4).

This means from the beginning of history, the human race collects some anxieties, fears, depressions in a huge closet and this closet is transferred from generation to generation transmitting some certain moral values and rules as well. While doing so, they also transmit some tools of values and morals like fairy and folktales, fables, lullabies, etc. That's why some variations of such cultural tools have identical outlines in distinctive cultures around the world. For instance, *Cinderella* has hundreds of versions which are constantly told, written, filmed or animated in different areas around the world, and three of which are very well-known ones: "Cinderilla" (or The Little Glass Slipper)

(1964) of Charles Perrault, "Ashputtel" (1812) of The Brothers Grimm and Walt Disney's cartoon "Cinderella" (1950). In some versions she has sisters who are not as beautiful as she is, even though not ugly, in some versions she does not; in some collections she has a "fairy godmother helper" like an assistant animal or plant, or even "some combination of such forces" (Anderson, 2000, p. 24).

It has been so widely known around the world that "Cinderella story" entered the lives of people to define the case of a poor girl who rises from the lowest part in her career or social status to the peak point as in the American "rags-to-riches" story. Even though these versions or variants or tales show slight differences around the world, someone who reads one version can easily understand that it is the same story. The collectors or writers of these folktales live in different parts of the world in different times through history, and these tales stem from oral tradition and are as old as at least human history when communication started among people. The question is that: how can these different versions or variants have similar themes?

Adam Adamski in his article entitled *Archetypes and the Collective Unconscious of Carl G. Jung in the Light of Quantum Psychology* explains this situation in relation to Jung's "collective unconscious". Adamski

states that for Jung the concept called as “collective unconscious” was based on symbolization, images, as well as our attitudes towards life, thoughts, and experiences that we inherit from the earlier generations. This “collective unconscious” is also composed of themes from mythology and ancient paintings. These themes which are created by archetypal images are identical in all traditions. (2011, p. 563). No matter in how far away countries they were written or orally told, how distant they were in history, tradition, and religion, how diverse was the age group they targetted, a tale with the name of *Cinderella* in the western culture can be told with the name of *Yeh-Shen* in China; or similarly, you can read two other versions of *Little Red Riding Hood* with names *The Story of Grandmother* or *Little Red Cap.* Some people may think that these collectors or writers copied from each other’s tales or had the chance to see the places these stories were told, but we must not forget that these stories are naturally accepted and continuously narrated by the locals, and they are completely authentic. It is these qualities which have kept them alive to this day.

The reasons behind parallelism among the folktales in different places have been a longtime concern of folklorists, psychologists, anthropologists and other scientists from different parts of the world. The best explanation seems to be the common storage of the psyche of the humanity shared by all its members and contributed by common experiences of people of several geographies with different ideologies, religions, cultures, and traditions wherever they live. For instance, Adamski argues that subject matters of the images of the archetypes do not differ from culture to culture or according to the age, race or culture and they correlate with the “phylogenetically conditioned part” of the structure of the human beings which was mentioned above and that seems to be the reason why “Myths and fairy tales of world literature contain certain motifs that appear everywhere with similar content” as explained by Jung (as cited in Adamski, 2011, p. 564). To explain it by an example, a young woman walking in the forest alone and “straying from the path” becomes a moral concern in every culture as a result of our collective unconscious since the beginning of the human history. This moral concern has started forming the psyche of the human beings all over the world. The images like

paintings, dreams or any kind of experiences human beings were exposed but suppressed to disclose have made people form the psyche of nervousness and anger. These suppressed feelings turn into stories through these images across the world everywhere. People started educating their children by narrating the stories of the same content around the world with similar moral lessons but with different character names not knowing the stories of each other, not being aware of the reason they were doing it. It was only understood thousands of years later that they shared the same worries and anxieties or some emotions were universal which led them to find similar solutions with "similar content[s]". Actually, this common storage of the human experience was also the source of inspiration for Vladimir Propp. Propp tried to schematize common features of several Russian tales which have lots of parallels with Jung's "collective unconscious" term. This term is very important for this book because Propp, just like Jung, also broke down stories into their components and then analyzed relations among them. Moreover, there are also parallels between Jungian archetypes as a persona, shadow and anima/animus and Proppian dramatis personae like hero, father, villain, and princess. Jack Zipes sums up this fact in his book *The Irresistible Fairy Tale* stating that even though there have been similar applications of stories with the same storyline in different communities around the world, "the application of the verbalization that included specific references to specific realities, customs, rituals, and beliefs led to various tale types, variants, and differences". He adds, almost all traditions "have cannibalistic ogres and giants or dragons and monsters that threaten a community." Moreover, in nearly all cultures there are tales in which the stories of a quest hero pursuits a fight with a brutal barbarian are told (2012, p. 8).

Seeing that some narratives have some common elements and similar structures, linguistic critics tried to schematize these works of literature. Vladimir Propp with his *Morphology of the Folktale*, French philosopher and anthropologist Claude Levi-Strauss, French semiotician Algirdas Julien Greimas with his "Morphology and the Theory of Actants" and French philosopher Jean Petitot with his "Catastrophe Theory", became the most famous critics in this sense. Of them, Propp's "Morphology of the

Folktale" has a high importance because he is trying to achieve a view of universality particularly in his formalist study, so that I will focus closely on the formalistic view in his morphology throughout the rest of this chapter.

In *Morphology of the Folktale*, Vladimir Propp worked on 100 Russian fairy tales and tried to schematize them according to 31 elements (e.g. absentation, interdiction, violation, etc.) which he called "functions" and he found 7 Dramatis Personae (e.g. the hero, villain, the false hero, etc.) common to most of the fairy tales. His explanation about the functions is that it is "understood as an act of a character, defined from the point of view of its significance for the course of the action," (Propp, 2008, p. 21). The four common characteristics that these functions share are as follows:

> 1) Functions of characters serve as stable, constant elements in a tale, independent of how and by whom they are fulfilled. They constitute the fundamental components of a tale; 2)
>
> The number of functions known to the fairy tale is limited; 3) The sequence of functions is always identical and 4) All fairy tales are of one type in regard to their structure (pp. 21-23).

Propp applies a formulaic way to schematize these functions and he uses symbols and shapes to refer them, but I will give only the definitions and functions, and if needed sub-functions i.e. the derivations of functions which are the most striking ones when one analyses *The Hobbit.*

As for an international formula for folktales, Propp analyses several tales and divides the elements in these into two categories: variables and constants: "The names of the dramatis personae change (as well as the attributes of each), but neither their actions nor functions change". We can infer from this statement that it is frequent that different characters in a tale may perform the same tasks (2008, p. 20). This means that the stories have an identical storyline from beginning to the end as explained in the part about "functions" above; however, the characters, affecting or being affected by these functions or actions, may vary from one story to another. To explain this view, Propp gives an example:

1. A tsar gives an eagle to a hero. The eagle carries the hero away to another kingdom.
2. An old man gives Súcenko a horse. The horse carries Súcenko away to another kingdom.
3. A sorcerer gives Iván a little boat. The boat takes Iván to another kingdom.
4. A princess gives Iván a ring. Young men appearing from out of the ring carry Iván away into another kingdom, and so forth (pp. 19-20).

To make it clearer in a tale, the order of Propp's 31 functions are concrete elements, even though the tale may lack some of these functions. For example, *Little Red Riding Hood* may include all these 31 functions, or it may lack most of them; however, the ones which exist have to be coherent with the order in the *Morphology*. But it is not the same with the character types. They may appear in different orders; some of them may not appear at all, or some of them may appear several times or some of them may have the attributes of another character. Propp goes on further saying the main focus of his study is to answer the question "what a tale's dramatis personae do" rather than "who does it or how it is done" which might be focused in other studies (Propp, p. 20) and this is explained by Dundes in his book *Meaning of Folklore* as if we are to examine Propp's work structurally, it is not important whatever the medium which transfers the hero to other dwellings is "an eagle, a horse, a boat, or men" (Dundes, 2007, p. 95). The main focus is we must know that it is transferred in a way or so.

Nevertheless, there have been several ideas and critical reactions against Vladimir Propp's *Morphology of the Folktale*. Trulie Peterson argues that Propp's *Morphology* is inspired by Carl Jung's revolutionary work on archetypes: a concept that is explained shortly [previously explained in detail] with long coming shared experiences of the human kind (2009, pp. 60-61). In fact, the previous part has already suggested some ideas connecting the "collective unconscious" and "archetype" ideology of Jung with Propp's starting point to formulate the context of fairy tales.

In addition, Alan Dundes maintains that "In this type, the structure or formal organization of a folkloristic text is described following the

chronological order of the linear sequence of elements in the text as reported from an informant. Thus, if a tale consists of elements A to Z, the structure of the tale is delineated in terms of this same sequence" (2008, p. xi). This kind of analysis mainly focuses on the order, and no attention is given to the context. Actually, it is such a kind of criticism Propp has received since his morphology was discovered by the western world. Most of the critics have blamed Propp's system of analysis for being too much superficial as it only takes "the linear sequence of elements" as the core of his study, and they also claimed that such a sound linear structure as the letters of the alphabet from A to Z would be artificial. However, Alan Dundes, as a folklorist, believes that what Propp did has a pioneering role in this area, and for him, Propp's work should be defended rather than criticized. He does not hesitate to take part in debates of Strauss and Propp and reveal his sincere ideas defending Propp but opposes Strauss especially in his manner against Propp. Strauss repeatedly criticized Propp's morphology for being inconsistent, even though Propp claimed to prepare his morphology to prevent the inconsistency of the previous classifiers of fairy tales by W. Wundt, R. Volkov, A. Aarne, J .Bolte, etc. Dundes utters one of his provocative sentences at this point against Strauss: "At least Levi-Strauss is consistent, that is, consistently mistaken" (2007, p. 149).

Among the scholars with contradictory ideas to Propp's "syntagmatic" analysis was Claude Levi-Strauss who favored "paradigmatic" analysis. "Levi-Strauss did recognize the "order" of events as presented in narratives as told, but he preferred to ignore that order: "…The use of the descriptive label "perversely" seemed to suggest that the linear sequential order (utilized by Propp) was an obstacle to be overcome by Levi-Strauss in his efforts to arrive at the supposed underlying paradigm" (as cited in Dundes, 2007, p. 146). Instead of syntagmatic analysis, however, Levi-Strauss focuses on the paradigmatic analysis where meaning is revealed through "binary oppositions" as illuminated below:

Levi-Strauss regards such linear, sequential forms as obvious and superficial. Instead, he prefers a nonlinear, structural, 'paradigmatic' analysis, in which the contradictions of linear models can be resolved semantically by polar [binary] oppositions such as that in

the Oedipus myth between blood relations and autochtonous beings (Champagne, 2015, p. 42).

In this kind of analysis, Levi-Strauss maintains that order is not important or is reshaped for the benefit of the context: that is, it tries to explain a pattern by making use of the binary opposition technique, explaining a concept with its opposite. This is very different from Propp's linear structuralism (Dundes, 2008, p. xi). This pattern can be called "comparative method". In the comparative method, the meaning of the myth of a people (e.g. Indian) cannot be fully created and reflected without analyzing them comparatively to that of another nation (e.g a tribe in Africa). Dundes ironically criticizes this "comparative method" because he thinks the scope Strauss' method is too large and he obviously thinks it does not make sense to try to compare a myth belonging to South American Indians with probable common features in North America to make it meaningful (Dundes, 2007, p. 146). As quoted in Alan Dundes's article entitled *Binary Opposition in Myth: The Propp/Levi-Strauss Debate in Retrospect* (1997), Dundes critcisizes Strauss because he does not agree with Levi-Strauss' ideas when Strauss reveals his opinion in an episode in his study 'Tucuna Reference Myth' stating "This episode which cannot be interpreted according to the syntagmatic sequence, and on which South American mythology as a whole fails to shed any light, can only be elucidated by reference to a paradigmatic system drawn from North American mythology" (as cited in Dundes, 2007, p. 146). Levi-Strauss examined form and content of a text together and believed that it was content which created the form, so that the form could not be examined free from content as explained briefly by Dimitry Olshansky on an academic electronic journal on the website of Toronto University stating that you cannot differentiate form and content in structuralism. You cannot analyse a text with only "abstract" or "concrete" categories free from each other. As meaning is only constituted when they are analysed using both, they must be analysed together (Olshansky, par. 13). However, Propp did not mind the content of the text in his morphology; neither did he take into consideration the historical, religious, traditional background of the folktales, and he claimed it was "useless" for them to "undergo the analysis". He only tried to define and schematize it (Propp, 2008, p. 5).

Levi-Strauss claims this ideology is inconsistent as well because a man who is working on fairy tales cannot work without taking history, context and ethnology into consideration and adds that "while claiming to be doing a synchronic analysis of the fairy tale Propp occasionally comments on its origin and evolution" (Shiskoff, 1976, p. 274).

As discussed above, there are many aspects of folk and fairy tales which sometimes differ from each other and which are sometimes similar to each other. Moreover, Vladimir Propp also classified 31 aspects of folktales in his reading of Russian short stories which has become a common ground for assessing a literary work as a folk or fairy tale. This book will debate how some of the folk and fairy tale characteristics fit into Tolkien's *The Hobbit* as a fantasy novel. In so doing, Chapter II focuses on fairy tale elements in *The Hobbit,* Chapter III examines *The Hobbit* in relation to Vladimir Propp's *Morphology of the Folktale* and finally the Conclusion chapter gathers all the information together and critically evaluates *The Hobbit* from a fairy perspective rather than treating it as a fantastic work opposite to its worldwide acceptance as a fantastic.

2. Chapter Two: The Architecture of Faërie: Unveiling the Folkloric Foundations of *The Hobbit*

The story of J. R. R. Tolkien's *The Hobbit* has been interpreted so far from various points of view, which have enabled the readers and critics not only to enrich their understanding of the story but also to perceive a wider social, cultural, political and historical background behind its creation. As mentioned in the first chapter, this book will focus upon another view in the story of *The Hobbit* – a view that is linked to the qualities of fairy-tale, and this view has not been thoroughly studied, even though there are a few debates on them. For example, Tom Shippey is one of the critics who claims in his book *J. R. R. Tolkien: Author of the Century* (2000) that there are strong parallels with popular fairy stories and *The Hobbit* because you can state that *The Hobbit* has small traces of some elements of *Dvergatal* and 'Snow White' Brothers Grimm's distorted fairy tales (p. 17). *Dvergatal* is the list of dwarf names from Northern mythology which Tolkien used in *The Hobbit.* Shippey believes many fairy elements which have been put in books like *The Hobbit* are different imitations of collections of fairy tales all around Europe "those of the Grimm brothers in Germany, of Asbjornsen and Moe in Norway, Perrault in France, or Joseph Jacobs in England, together with literary imitations like those of H. C. Andersen in Denmark, and literary collections like the 'colour' Fairy Books of Andrew Lang," (p. 12). He exemplifies his claim by referring to some of the main characters in *The Hobbit* stating that dwarves in 'Snow White' have similar qualities with the people of Thorin in being skilful miners and having a strong interest in prosperity. Moreover, even though trolls are not familiar to the English people as the word comes from the Scandinavian language, they are not completely strange to the word for the sake of the story which was documented by the Norwegians called 'The Three Billy-Goats Gruff'. These are not the only similarities as elves can be seen in the 'The Little Elves and the Shoemaker', and goblins appear in the "literary fairy-tale" versions of George MacDonald (p. 12). Surprisingly, Jane Chance has a similar claim in her book *Tolkien, Self and Other: "This Queer Creature"* (2016) that Tolkien formed *The Hobbit* as a fairy story from the very beginning "in the light of his regard for Andrew

Lang's paradigmatic Victorian fairy-story of the northern hero Sigurd". According to her claim, *The Hobbit* has fairy-tale elements, and in its production, Tolkien was inspired by Völsunga Saga [a saga of the Völsung -Germanic- clan] (Chance, p. xiii). Moreover, she suggests that *The Hobbit* might be labelled as a *fairy- story* as there are a lot of beings with magical qualities and creatures from myths showing up in the story normally, as if nature is their usual habitat, "including trolls, goblins, giant spiders, Beorn the shape-changer, and most especially, the Elves (or fairies)" (p. 51; emphasis added). Shippey further contributes to the fairy elements in *The Hobbit* by dividing into two and defining the second part as "… the archaic world which lies behind both vulgar *folk-tale* and its aristocratic, indeed heroic ancestors," (Shippey, p. 18; emphasis added). Shippey composes the argument suggesting that 'fairy-tale' is a sub-category to 'fantastic' saying "'… the fantastic' includes many genres besides fantasy: allegory and parable, fairy-tale, horror and science fiction, modern ghost-story and medieval romance," (p. viii). However, he does not hesitate to reveal his opinions on its having fairy-tale elements by his words "the structure of *The Hobbit* … consists of Bilbo becoming more and more at home in the world of *fairy-tale*" (p. 29; emphasis added). Hence, this chapter will analyse in detail the construction of identity in *The Hobbit* as for fairy-tale aspect. In doing so, first, it will focus on how Tolkien deconstructs traditional epic/heroic identity in the novel. Secondly, the chapter will examine and link the conflict between good and evil, as well as magic and trickery to the formation of identity in *The Hobbit* as a fairy tale.

2.1. Deconstruction of the Epic Hero Qualities and Code of Chivalry

According to the ancient Greek traditions, like in the case of the best example Achilles, "heroes were humans", no matter what their sex was; however, they had beyond human capabilities that they achieved these qualities from the "immortal gods" directly (Nagy, 2013, p. 9). As Nagy puts it in his book entitled *The Ancient Greek Hero in 24 Hours* which is a compilation of his lectures he gave at Harvard University, a hero was traditionally believed to have 'superhuman' abilities by which it is

generally meant a muscular body and extraordinary skills of fighting and war. In addition to Achilles, Hercules and Odysseus would be the best two examples of epic heroes among many. Rosemarie Deist contributes to it by psychological heroic qualities of the epic by explaining the passionate character of Achilles emotionally. She defines Achilles as an epic hero who never hesitates a combat and somebody with powerful passions. These strong emotional qualities enrich his character with limitless "anger, grief, and love"; the strength of such qualities constitute the core of his character and even his name which is composed of "akhos and laos, "grief" and "host of fighting men" gives some clues about his characteristics (Deist, 2010, p. 1). She also stresses that a hero should react both physically and psychologically when the right time comes: "Heroic character is revealed over time through the public performances [e.g. battles, wars, competitions, fights] and the emotions they arouse" (p. 2). In his study where he analysed heroic qualities of Odysseus, moreover, Li Yue confirms the importance of physical abilities and well- being of a hero stating that the heroes of the Homeric period draw attention with superhuman power, and Odysseus is a good example of them (2015, p. 229). Both in physical appearance and in personal traits, the qualities of the epic hero are summarized by Gonçalves as "… bravery, loyalty, strength, eloquence, and shrewdness. These are some of the main characteristics we hope to find in a hero of an epic narrative" (Gonçalves, 2017, p. 44).

As well as the epic consent of heroism, we need to mention the code of chivalry to understand Tolkien's choice of characters in his fiction. Alex Davis states in *Chivalry and Romance in the English Renaissance* (2003) that chivalry has been taught as a technique to be used at wars. Its main focus is on moral attitudes to be taken even at war and he mentions ethic values of the code of chivalry. (p. 3). In his book *Holy Warriors: The Religious Ideology of Chivalry* (2009), Richard Kaeuper explains the 'chivalrous' characteristics as "… [the chivalrous] are enthusiastic practitioners of a chivalric paradigm based on prowess, honour, and bodily exaltation …" (Kaeuper, p. 49). While explaining the term 'chivalry', Kaeuper states in his another book *Chivalry and Violence in Medieval*

Europe (2001) that "… the term could mean nothing more theoretical or ethical than deeds of great valour and endurance on some field of combat, that is, heroic work with sword, shield, and lance" and he explains these ideals in a general sense as being "…probably achieved as nearly as any set of human ideals ever can be in an imperfect world" (p. 3-4). Leon Gautier gives the most concrete and simplest definition of chivalry and the knight as "Chivalry is the Christian form of the military profession: the knight is the Christian soldier" (p. 2). In his book *Chivalry* (1891) which serves as a cornerstone for the researchers in this field, he also mentions ten commandments of chivalry which basically gives the message of being loyal to teachings of the church, protecting it in need, respecting the disadvantaged people and protect them, loving the country, not quitting a battle before the enemy does, being generous, honest, and polite to people, etc. (Gautier, p. 25).

The epic ideology of heroism and code of chivalry, along with how Tolkien literally deconstructs and artistically mocks the latter, is highly important when Tolkien's works are associated with fairy and especially with folk tales. As mentioned in the previous chapter in details, the choice of a hero is generally from common man particularly in folktales like Nasreddin Hodja, Snow White, Rapunzel, Keloğlan and many others. Not only are they physically normal or inferior, but they are also inferior in social rank as in the case of Cinderella, Ali Baba or Keloğlan. Instead of choosing a character with superpowers and extraordinary abilities, Tolkien's choice of an anti-hero gives his fiction a more folktale characteristic.

Tolkien is well-known for deconstructing the traditional epic hero image and code of chivalry as being warfare, brave, victorious, significant, glorified with moral goodness and sometimes supernatural aspects as in the stories of the Roman and Greek mythologies like Hercules or Odysseus. As Wiklander argues, however, Tolkien represents Bilbo in a way that he is not one of the common heroes we should expect because being a dwarf, he is not big in size, does not have huge muscles and is not very eager to attend wars. What makes Bilbo a hero, for sure, are some other qualities like completing a quest, obtaining some magical items he

used as a weapon making some decisions based on his moral values (2011, p. 4). Actually, this examination on Bilbo Baggins perfectly fits the hero of the series of *The Lord of the Rings* (1937-1949), whose hero is Frodo Baggins, who is also a hobbit and a relative of Bilbo; unlike a traditional hero, Frodo Baggings does not possess traditional hero qualities in the sense that he is also unwilling to take action. Manlove states that Tolkien tries to give a moral message through his choice of the hero in his book, he needs to pick a Ring-bearer who will walk against all the potent of Sauron. However, he does not choose a traditional hero like Beowulf, Aeneas or Roland with all the heroic qualities. What he chooses instead is a dwarf who is content to live eating and sleeping all their lifelong. As the quest continues, we witness Frodo's coming of age with his psychology and respect his character as a hero not at the beginning. Manlove stresses on the similarity between the hobbit and another fairy tale hero Jack as it also matures up throughout his journey until he becomes "an independent and grown-up person" (Manlove, pp. 174-175).

Moreover, these qualities above also perfectly fit Farmer Giles as being an unwilling hero of the *Farmer Giles of Ham* (1949). In *The Hobbit*, Tolkien prefers to attribute heroic qualities such as power, skills to fight, abilities to use weapons on the people who assist the heroes, not the heroes themselves; however, he picks his heroes among normal beings. It is easy to say that Tolkien chooses fairy type heroes and prefers to give them the ability to question and this puts them in a privileged post. To analyse these in a greater detail from *The Hobbit*, the description of an extraordinarily ordinary being is made as follows:

> This hobbit was a very well-to-do hobbit, and his name was Baggins. The Bagginses had lived in the neighbourhood of The Hill for time out of mind, and people considered them very respectable, not only because most of them were rich, but also because they never had any adventures or did anything unexpected: you could tell what a Baggins would say on any question without the bother of asking him (Tolkien, 1993, p. 13).

Such a being would never need an adventure or at least he would never be willing to take such a challenge. He might be anybody living your next door which makes it a typical folk tale hero. However, on the next page, Tolkien foreshadows that an "unexpected" thing will happen, and this

hobbit will take action: “This is a story of how a Baggins had an adventure, found himself doing and saying things altogether unexpected” (p. 14).

Being an “unexpected” hero, Bilbo shows almost no effort to prove himself to be a hero because he is happy to smoke pipes all day and do nothing in his hobbit hole just like the lazy Farmer Giles. Gloin, one of the twelve dwarves who calls Bilbo for an adventure together with the old wizard, Gandalf, also reveals his disappointment as this adventure for Bilbo “sounded more like fright than excitement!” (p. 28), and he even adds: “As soon as I clapped eyes on the little fellow bobbing and puffing on the mat, I had my doubts. He looks more like a grocer-than a burglar!” (p. 28). The old wizard is the only one who believes that Bilbo is fit for the task and thus who supports Bilbo throughout the book: “I have chosen Mr. Baggins and that ought to be enough for all of you. If I say he is a Burglar, a Burglar he is, or will be when the time comes. There is a lot more in him than you guess, and a deal more than he has any idea of himself” (p. 29). Being a burglar and a hero may seem contradictory; however, they need a burglar’s skills to steal the treasure back from the dragon, so these qualities are praised positively throughout the book.

Tolkien artistically mocks the code of chivalry and the scarcity of such heroes with ethics rules and codes through the words of Gandalf. Partially taken as a political criticism, Tolkien does not believe that knights are products of myths and thus they cannot be taken seriously anymore because this position is given to those who do not deserve it nowadays. Hence, he gives the message that you will not be able to see the gentlemen and powerful warriors throughout this adventure but ordinary people as such characters in *The Hobbit* cannot be found anymore. Tolkien indirectly tells that the only hero that is fit for this adventure is Bilbo:

> I tried to find one; but warriors are busy fighting one another in distant lands, and in this neighbourhood, heroes are scarce, or simply lot to be found. Swords in these parts are mostly blunt, and axes are used for trees, and shields as cradles or dish-covers; and dragons are comfortably far-off (and therefore legendary). That is why I settled on burglary-especially when I remembered the existence of a Side-door. And here is our little Bilbo Baggins, the burglar, the chosen and selected burglar (p. 31).

As mentioned earlier, being a questioning hero-rather than having the qualities of epic heroes like strength and eagerness for battle, or chivalric qualities like following the virtues of Christianity or ethics rules of the society- is the most striking quality of Bilbo Baggins in *The Hobbit*. When he hears that Gandalf and the twelve dwarves ask for his help to gain back the unmeasurable wealth of their ancestors from a dragon, Bilbo does not accept the challenge right away: "First I should like to know a bit more about things, said he, feeling all confused and a bit shaky inside, but so far still Tookishly determined to go on with things. I mean about the gold and the dragon, and all that, and how it got there, and who it belongs to, and so on and further" (p. 31). Even though this is the very beginning of the story, we learn that Bilbo is not a type of character who will use his muscles and fighting abilities throughout his adventures to dominate the others around but his brains and his skills as a "burglar", which challenges the traditional concept of hero as brave, virtuous, strong and courageous. He continues to question "risks, out-of- pocket expenses, time required and remuneration, and so forth - by which he meant: What am I going to get out of it? and am I going to come back alive?" (p. 32). Bilbo's witty mind comes to the surface when he encounters Gollum and they play a game of asking riddles, the winner of whom, seemingly, will survive in the end. He lets Gollum ask the first riddle after they make a deal about the fate of the winner "because he had not had time to think of a riddle" and he "tried to find out more about the creature" (p. 78). In this riddle game against Gollum, Bilbo does not hesitate to cheat although "[Bilbo] knew, of course, that the riddle-game was sacred and of immense antiquity, and even wicked creatures were afraid to cheat when they played at it" (p. 84). He starts behaving immorally by giving his opponent the first chance to ask and acting he is doing it of courtesy but in fact, he does it to know Gollum better and he does not have a riddle to ask at that moment and he needs some time to think of one. Secondly, he asks a riddle but "he had not asked it in the usual words" in order to win (p. 80). His behaving immorally in the riddle game comes to its peak when he asks the question "What have I got in my pocket?" As it is not an actual riddle, Gollum fails to answer it correctly and rejects "Not fair! Not fair" (p. 83). Even though Gollum is the villain of the story, he has a sense of ethical rules while Bilbo does not

care much about these as the hero of the story. Tolkien literally states "… after all that last question had not been a genuine riddle according to the ancient laws" (p. 84) but it seems neither Tolkien nor Bilbo cares about these long-living ethical codes.

Bilbo's cleverness, rather than fighting abilities and strong muscles, helps him to gain respect among his company towards the end of the journey because his intelligence rescues him from Gollum, and later from the group of spiders, and wood elves. It is again for his intelligence which solves the mystery of the secret door, gains back the booty of the dragon at the end of the story, and spots the weak spot of the dragon in a talk with him. He restores the respect he deserves and Thorin admits that "Gandalf spoke true, as usual. A pretty fine burglar you make, it seems, when the time comes. I am sure we are all forever at your service, whatever happens after this" (p. 173). From that time on, the dwarves will ask for Bilbo's help whenever they are in trouble or whenever they do not have the courage for the risks of a battle with the enemy: "It is always poor me that has to get them out: of their difficulties, at least since the wizard left" (p. 201). Completely opposite his image at the beginning of the story, some traditional heroic qualities are even associated with him by Thorin towards the end of the adventure like "a hobbit full of courage and resource far exceeding his size" (p. 203). "But it is a significantly different type or style of courage from the heroic or aggressive style of his companions and their allies and enemies" (p. 28) as Tom Shippey states in his book *J. R.* *R. Tolkien: Author of the Century* (2000) because Bilbo is never able to have combat with trolls, dragons, or have an actual victory after battles. At the war scenes especially at Battle of the Five Armies, Bilbo has a trivial role, even though it is towards the end of the story when he has already been accepted as a hero by his gang (Shippey, p. 28). Instead of joining the war to prove his courage and epic hero qualities, he wears his invisibility ring much earlier than the action starts and disappears (Tolkien, 1993, p. 265).

His use of his intelligence reaches its peak, while talking to the dragon to confuse it, gaining as much time as he can and trying to find the weak spot

of the dragon: “This of course is the way to talk to dragons, if you don’t want to reveal your proper name (which is wise), and don’t want to infuriate them by a flat refusal (which is also very wise). No dragon can resist the fascination of riddling talk and of wasting time trying to understand it” (p. 213). Just as the way he treated when he encountered Gollum (puzzling him and trying to have as much information about him as possible), Bilbo puzzles Smaug, the dragon, and learns the weak spots of the enemy because he knows for sure that they do not physically match to have a fight. He has to be wise to beat his enemy and he prefers to use his strength: his ability to make a riddling talk. It is a stereotype in many of fairy and folk tales, and the best examples of which are versions of Keloglan, Ali Baba and Forty Thieves, etc. The hero of a fairy tale does not necessarily have to have a strong body and fighting skills as they are generally chosen among the common people like Bilbo; however, he must be clever to beat his enemy, yet it is not considered immoral for him to use trickery just as Bilbo applies to beat Gollum first, then goblins and spiders and finally wood elves and the dragon. At the end of the day, Bilbo is not a knight and he does not have to follow the ethics and virtuous codes of chivalry.

2.2. The Formation of the Fairy Tale Identity

In order to show how a fairy tale identity is constructed in *The Hobbit*, it is necessary to analyse it with regard to fairy beginning, oral tradition, the conflict between good and evil, along with the moral lesson that fairy tales use in order to edify society as a means of propaganda to direct into a good direction.

The fairy element that attracts the reader first is that almost all the fairy tales have similar opening sentences, which link them to each other to suggest a sense of connection without time and space. For instance, “Once upon a time there was a village girl, the prettiest you can imagine” (p. 12) is the sentence that becomes an opening sentence in Charles Perrault’s *Little Red Riding Hood* in the book *The Classic Fairy Tales* (1999). Likewise, Brothers Grimm’s *Little Red Cap, Beauty and the Beast* in Jeanne-Marie Leprince de Beaumont’s edition, the introduction of Brother

Grimm's edition of *Snow White,* Charles Perrault's *Donkeyskin,* Joseph Jacobs's introduction to *The Rose Tree*, the introduction of *Little Thumbling* in Charles Perrault's version, and the last but not the least, the introduction of Joseph Jacobs's version *Molly Whuppie* all have "once upon a time" beginning. This kind of introduction, which comes from the oral tradition, helps the fairy tale to gain a kind of anonymous and timeless characteristic. Being anonymous and timeless also let the fairy tale be international in that it does not belong to a certain time or geography.

Likewise, Tolkien's *The Hobbit* also starts with a similar beginning: "In a hole in the ground there lived a hobbit" (1993, p. 13). He uses a schema of fairy tales while beginning his story: "once upon a time there was a hobbit …" More surprisingly, in Grimm's collection, the folktale *The White Snake* starts as "A long time ago there lived a king …" (p. 210). Moreover, in his letter to W. H. Auden on June 7, 1955, concerning the beginning of *The Hobbit*, Tolkien writes that while doing academic work in his office with all the tiredness of the whole day, "On a blank leaf I scrawled: 'In a hole in the ground there lived a hobbit.' I did not and do not know why". He states that the story began spontaneously as a flow of consciousness. He left it aside for a long time and did not do anything more about it than producing Thror's Map. "But it became *The Hobbit* in the early 1930s, and was eventually published …" (2006, p. 215). This fairy beginning is a kind of a tradition in Tolkien's stories. Similarly, he starts *Farmer Giles of Ham* as "Aegidus de Hammo was a man who lived in the midmost parts of the Island of Britain" (Tolkien, 2008, p. 103). Being a respected philology professor, he uses language very expertly and it is inevitable that he intentionally started with a fairy beginning.

Another proof to be noted about Tolkien's intention to write *The Hobbit* in the forms of fairy tale and his fairy beginning is that he confesses he wrote the book for children in his letters. Children have always been the best audience for folktales and fairy tales. The creation process of the book's story is highly important in that sense. "…. it [*The Hobbit*] was seen by a former student who was at that time in the office of Allen and Unwin. It was I believe tried out on Rayner Unwin; but for whom when grown up I think I should never have got the Trilogy published" (2006, p. 215).

Rayner Unwin was the son of the head of the publishing company, Stanley Unwin, which accepted to become the first publisher of the book in 1937. He was ten years old then and Stanley Unwin used to take advice from his son believing that as mentioned in Arne Zettersten's *J. R. R. Tolkien's Double Worlds and Creative Process* (2011) the best critics of a work written for children must be children. If it was not for the positive remarks of Rayner, who was only 10 years old, the fate of the book or at least the time of it might have been entirely different (p. 175). As quoted in the same book, Rayner's report is highly interesting because he states the book will be loved by all children from 5 years to 9 years old. He also adds that the original state of the book did not even need any cartoons to be drawn but only the maps (p. 175). Rayner's remarks are important to speed up the publication of *The Hobbit*. Moreover, Rayner's labelling the book as "children's book" is also a contribution to its fairy elements. As told in the previous chapter, fairy tales have a function to teach children some moral ethics of previous generations, and the addressed audience is generally the children just as in the case of Tolkien's book. Stanley Unwin had given a copy of the book to the author Richard Hughes and mentioned his comments to Tolkien in a letter. Hughes's comments are also contributing to this debate as he writes Hughes agrees with Rayner and Unwin that the book is a children's book but he abstains from labelling it a bedtime fairy story as some parts would be too frightening to listen to or read before sleeping. (2006, p. 23). Besides, Brian Rosebury also argues in his book *Tolkien: A Cultural Phenomenon* (2003) about the fairy aspect in *The Hobbit*:

> *The Hobbit* even in its most serious moments retains the self-conscious tone of a children's book: 'whether you believe it or not' is typical of the fireside intimacies to which the narrative is prone (and which Tolkien later regretted), and the deliberately naïf diction and syntax of this and the final sentence seem to wrap Bilbo in a blanket of paternal tenderness. The anti-acquisitive moral, too, is spelt out more carefully and repeatedly than an adult reader, or possibly any reader, needs" (pp. 112-113).

Even though Rosebury is in conflict herewith Hughes' claim that *The Hobbit* is too terrifying to be a bedtime story for children as he believes, Tolkien finds a sedating tone in language, and the novel is safe for any kind of children and more suitable for children than for adults. They meet

up at a point that it is a story for children, suggesting a fairy element. While stressing on some parallels between J. R. R. Tolkien and Lewis Carrol or Charles Lutwidge Dodgson (1832-1898) with his real name as the writer of *Alice's Adventures in Wonderland* (1865), George Steiner wrote in an article entitled "Tolkien, Oxford's Eccentric Don" which was originally published in Le Monde (1973) and later published in Tolkien Studies: An Annual Scholarly Review, Vol.5 (2008) that Alice also went down the hole just like the hobbit-hole of Bilbo Baggins. Steiner states that inside Merton, Oxford University, Tolkien had a career as an important academician. Within this atmosphere, *The Hobbit* came out disguising people as a story for children. He confesses that this creation story reminded him of another story written by Lewis Carrol. He claims both works to be "fantastic accidents" (2008, p. 187). I put this claim one step further labelling *The Hobbit* as a "fairy accident" as a result of some of the ideas above and some others which will continue. The beginning and the creation story of the book give us some sound proofs that *The Hobbit* has strong fairy elements.

Characterization of Tolkien also has some common aspects of the fairy tale as for physical, psychological and behavioural features. To start with, the hero in the book is Bilbo Baggins, who is a hobbit unwilling to go out for any kind of quest, lazy enough and always wants to sit at home as Tolkien writes: "This is a story of how a Baggins had an adventure, found himself doing and saying things altogether *unexpected*" (1993, p. 14; emphasis added). He continues to give a detailed description of the hobbits as follows:

> They are (or were) a little people, about half our height, and smaller than the bearded Dwarves. Hobbits have no beards. There is little or no magic about them, except the ordinary everyday sort which helps them to disappear quietly and quickly when large stupid folk like you and me come blundering along, making a noise like elephants which they can hear a mile off. They are inclined to be at in the stomach; they dress in bright colours (chiefly green and yellow); wear no shoes, because their feet grow natural leathery soles and thick warm brown hair like the stuff on their heads (which is curly); have long clever brown fingers, good-natured faces, and laugh deep fruity laughs (especially after dinner, which they have twice a day when they can get it) (p. 14).

We have already had a detailed investigation of the hero of the story above, but other characters are also to be mentioned as they are equally important here. While giving details about Bilbo's ancestors, Tolkien also makes an attribution to the stereotypical theme of fairy tales - love or marriage between the poor and the rich - which is frequently applied, and the most famous examples of which are fairy and folk tales like *Cinderella* or Keloglan tales or even *Beauty and the Beast* or *The Frog Prince* can be included into this group as they also stress on the differences in social status of the characters. Belladoma Took, Bilbo's mother, is rich and has different qualities from the rest of the hobbits – the qualities like discreetly disappearing, going and having adventures (p. 14). Most probably, she was very beautiful because we learn there are rumours that "long ago one of the Took ancestors must have taken a fairy wife" (p. 14). The binary oppositions between the ancestors of his father and mother are also a reason for hesitation for Bilbo Baggins throughout the story, and when the call comes from Gandalf and twelve dwarves, his Took side wants to go for an adventure, but his Baggins side outweighs most of the times which contradicts to his final decision:

Then something Tookish woke up inside him, and he wished to go and see the great mountains, and hear the pine-trees and the waterfalls, and explore the caves, and wear a sword instead of a walking-stick. He looked out of the window. The stars were out in a dark sky above the trees. He thought of the jewels of the dwarves shining in dark caverns. Suddenly in the wood beyond The Water a flame leapt up probably somebody lighting a wood-fire-and he thought of plundering dragons settling on his quiet Hill and kindling it all to flames. He shuddered; and very quickly he was plain Mr. Baggins of Bag-End, Under-Hill, again (p. 26).

The hesitation between his Took side and Baggins side is also very humanistic and realistic which is very different from the mythical hero image. He decides what to do in one of such moments, and even after his final decision, he doubts whether he is doing the right thing:

The Took side had won. He suddenly felt he would go without bed and breakfast to be thought fierce. As for little fellow bobbing on the mat it almost made him really fierce. Many a time afterwards the Baggins part regretted what he did now, and he said to himself: Bilbo, you were a fool; you walked right in and put your foot in it (p. 28).

When it is the issue of characterization on fairy tales, one cannot completely examine a book on fairy elements ignoring the dramatis personae which take place in *Morphology of the Folktale* by Russian folklorist Vladimir Propp. Propp talks about 7 types of character in the *Morphology*. These character types we come across are: 'the hero' who seeks something and absents himself for this lack; 'the villain' who takes actions against the hero; 'the false hero' or 'false heroes' who undeservedly claim the prize of the hero and imitate him behaving like a real hero; the donor who helps the hero with some kind of magical agent; 'the helper' who helps the hero solve some problems they face together enjoining him in his search; 'the princess' (or lack in more general sense) who serves as the prize to be reached or puzzle to be solved at the end of the story and her 'father' who helps or hinders the hero reach the princess, and finally 'the dispatcher' who sends the hero on mission of resolving the problem caused by the lack of something or someone. Zipes draws the simplest outline for Propp's dramatis personae as stating that hero of the story will come across such characters as "a deceitful villain", a person or a being who submits the hero some presents, "three different animals" or beings who are assisted by the hero and from whom the hero gets promise to pay back when needed, or "three different animals or creatures" who assist the hero in trouble. The gifts are generally magic items which provide magical change. Now that the hero is equipped with magic items, he or she faces some tests throughout his journey and has to be in terms with his enemies until a brief downfall in the hero's fate starts. This downfall reveals the need of a "wonder or miracle" to change the direction of his unlucky fortune. At this point, the hero uses the magic items he obtained as a gift from other characters in the story to reach his target. It is common for the hero to have three combats with the "villain", to complete three difficult tasks with the help of the magical agents, or to break "magic spell" which comes from the magical powers of his enemies. The hostile forces are defeated. The successful ending of the story hero drives him her to a marriage and riches. It is also common to reach the ending of the story simply with surviving or gaining crucial insight as a result of the experience gained from the journey he or she started (Zipes, 2000, p. xvii).

Another important thing that must be taken into consideration according to Propp is that there are two types of heroes: one is the seeker hero and the other is the victim hero. They differ from each other in some of functions especially the "departure" as stated by Propp in following, "The departures of the former group have search as their goal, while those of the latter marks the beginning of a journey without searches, on which various adventures await the hero" (Propp, 2008, p. 39). In that sense, we can label Tolkien's heroes in the category of typical victim heroes as in the case of Frodo in *The Lord of the Rings,* Farmer Giles in *Farmer Giles of Ham* or Bilbo in *The Hobbit.* They are suddenly inside an adventure without being in need or even will of searching something. Here are the other character types according to Propp, and how they can be applied to Tolkien's works, especially to *The Hobbit*. For example, The Villain: "His role [in the tale] is to disturb the peace of a happy family, to cause some form of misfortune, damage, or harm. The villain(s) may be a dragon, a devil, bandits, a witch, or a stepmother, etc." (p. 27). This is how Propp describes the "functions" of the first member of Dramatis Personae in his *Morphology*. It is at this point that Tolkien artistically drives a strong distinction between good and evil in *The Hobbit*. He depicts trolls, for example, with having "the great heavy faces of them, and their size, and the shape of their legs, not to mention their language, which was not drawing-room fashion at all, at all" and Gollum with words like "that nasty wet cold thing" (1993, pp. 43, 83).

Dramatis personae will continue, but it is necessary to talk about the binary opposition-good vs. evil- in fairy tales as it is mainly about the heroes and villains in fairy stories. As mentioned in the first chapter, the binary opposition is one of the most striking characteristics of fairy tales. Fairy tales make use of qualities of physical appearance to set the binary oppositions between evil and good, that is, good characters are beautiful, nice, polite or generous, whereas bad characters have all negative qualities. These qualities of the good characters and evil ones are so distinctive that the reader does not have the least confusion between them. The tale conducts its moral values through these characters to divert the society towards acting morally so that the message has to be conducted without any suspicion or misunderstanding; therefore, these qualities have to be

very clear and peculiar. The places where good characters live are shiny, fertile and pastoral, while the dwellings of the bad characters are the opposite. The hobbits in Tolkien's novel are depicted as "well-to-do" beings, living aristocratic and even intellectual lives in their dwelling places; they write and read or smoke pipes and live as "respectable" beings, try to solve the problems by peace-making or by agreement instead of fighting if possible. Before the Battle of the Five Armies, Bilbo tries to find a formula to make peace and "he would have given most of his share of the profits [from the treasure] for the peaceful winding up of these affairs" (1993, p. 245). The wisdom of Gandalf, the wizard, who is also a good character, is stressed many times. Elrond, an elf-lord who helps the gang on their long and tiring journey is depicted as follows:

He was as noble and as fair in face as an elf-lord, as strong as a warrior, as wise as a wizard, as venerable as a king of dwarves, and as kind as summer ... His house was perfect, whether you liked food, or sleep, or work, or story-telling, or singing, or just sitting and thinking best, or a pleasant mixture of them all. Evil things did not come into that valley (p. 58).

While describing the evil characters, the adjectives change at once into the negative ones. For example, Tolkien states: "But they were trolls. Obviously trolls. Even Bilbo, in spite of his sheltered life, could see that: from the great heavy faces of them, and their size, and the shape of their legs …" while describing trolls (p. 43). Similarly, Goblins are depicted as being "great ugly-looking" beings (p. 67). However, this is not the only reference to the evil qualities of the Goblins. The description below is highly important in that sense:

… goblins are cruel, wicked, and bad-hearted. They make no beautiful things, but they make many clever ones …. they are usually untidy and dirty instruments of torture, they make very well, or get other people to make to their design, prisoners and slaves that have to work till they die for want of air and light. It is not unlikely that they invented some of the machines that have since troubled the world, especially the ingenious devices for killing large numbers of people at once, for wheels and engines and explosions always delighted them, and also not working with their own hands more than they could help; but in those days and those wild parts they had not advanced (as it is called) so far (p. 69).

The depiction of Gollum and the place where he lives is very important, too: “He was Gollum as dark as darkness, except for two big round pale eyes in his thin face” (p. 77). As to the opposition between the places where the evil and good characters live, the places also change in appearance throughout the journey as the characters get into troubles and the journey gets into danger. For example, the place where Bilbo lives is generally depicted as being a pastoral place while his hobbit hole is depicted in a greater detail to avoid any kind of misunderstanding because when it is a hole, generally people think a nasty place but this one was not “Not a nasty, dirty, wet hole, filled with the ends of worms and an oozy smell, nor yet a dry, bare, sandy hole with nothing in it to sit down on or to eat: it was a hobbit-hole, and that means comfort” (p. 13). Also, his neighbourhood is described from his window as “looking over his garden and meadows beyond, sloping down to the river” (p. 13).

As for the depictions of both good and evil characters, the setting also plays a key role. For instance, the homes of the evil characters are not the kind of places one would like to wonder to visit if he had the chance to do so, whereas the environment of the good characters is peaceful places where one would like to spend some free time. Moreover, these places of the good characters are also like a green garden with flowers, meadows, river which are elements of productivity and fertility; therefore, they are alive and the people living there can make use of nature in an effective way:

> There is a subtle suggestion here about the value Hobbits place on nature: their ‘best rooms’ are not the ones with the most conveniences, the best paintings, the largest beds, or even (tellingly) the most food—they are the ones with the clearest views of the landscape. their best rooms look out not only on gardens—that is, nature in cultivated form—but also on meadows and the river, natural features that, though by no means truly wild, are less domesticated or cultivated (Dickerson and Evans, 2006, p. 12).

At the initial stages of our gang’s journey, the places are generally described in this way like “There were bogs, some of them green pleasant places to look at with flowers growing bright and tall …” (Tolkien, 1993, p. 54) or “Then they took off their clothes and bathed in the river, which was shallow and clear and stony at the ford. When they had dried in the sun, which was now strong and warm, they were refreshed …” (p. 115).

However, those places start to get darker and infertile as the course of the journey starts to get more and more dangerous. One cannot make use of nature as food, drink or other means. Infertility and lack of nature and light outweigh the characteristics of setting in places where the characters have some troubles. The portrayal of Mirkwood by Beorn is the best example of this view which is;

> Water, he [Beorn] said, they [the gang] would not need to carry this side of the forest, for there were streams and springs along the road. But your way through Mirkwood is dark, dangerous and difficult, he said. Water is not easy to find there, nor food … in there the wild things are dark, queer, and savage …. I doubt very much whether anything you find in Mirkwood will be wholesome to eat or to drink. There is one stream there, I know, black and strong which crosses the path. That you should neither drink of, nor bathe in; for I have heard that it carries enchantment and a great drowsiness and forgetfulness. And in the dim shadows of that place I don't think you will shoot anything, wholesome or unwholesome …. (pp. 131-132).

Being a professor of philology of prestigious Oxford University, Tolkien also makes use of language while stressing on the differences between the good and evil characters. He uses a vulgar, incomplete language while the evil characters are speaking. It first attracts reader's attention when trolls speak as "What the 'ell William was a- thinkin' of to bring us into these parts at all, beats me - and the drink runnin' short, what's more" or "when yer'd have said 'thank yer Bill' for a nice bit o' fat valley mutton…" (p. 43). The language they use has neither sign of grammatical or lexical rules, nor has it correct punctuation. He does not even want "to mention their language which was not drawing-room fashion at all, at all" (p. 43). It is also a way of portraying the bad characters because if a character speaks away from norms of the society he lives in, he is generally labelled as uneducated or dangerous. Hence, Tolkien also makes use of his philologist talents reflecting it on the language of the evil characters. It is also the same with the Wargs where the frighteningly bad language is literally expressed as "He [leader of wargs] spoke to them in the dreadful language of the Wargs. Gandalf understood it. Bilbo did not, but it sounded terrible to him, and as if all their talk was about cruel and wicked things, as it was" (p. 103). Gollum, being a creature, which seems bodily defected version of the human, also speaks with an incomplete, vulgar language. His

language sounds serpent-like with too many "s" sounds "'Sssss', said Gollum, and became quite polite. 'Praps ye sits here and chats with it a bitsy, my preciousss. It like riddles, praps it does, does it?'" (p. 78). Rosebury comments on the underdeveloped physical and pedagogical state of Gollum as:

> The most memorable success is Gollum's extraordinary idiolect, with its infantile cringing and pleading, its obsessive repetition of words and phrases that, like the Ring itself, have become for him talismans of desire or resentment, its undeveloped syntax and unstable sense of grammatical person (suggesting mental dissociation), its sibilance and gurgling (2003, p. 81).

As known, Snow White is white and pure while the evil witch is ugly and has all kinds of dark characteristics. Fairy tales do not let the listener or reader have any chance of misunderstanding between bad and good qualities and they depict them so clearly that the reader does not hesitate which side s/he takes part with. Tolkien seems to make use of this fairy element very frequently in *The Hobbit.*

Another striking characteristic about Tolkien's villains is that he uses a multitude of villains in this work like *The Lord of the Rings* or as in the case of Farmer Giles, who is an unwilling hero and who has to be hero in this so corrupt world as there is no one else to be the hero but the poor farmer, which is his famous short-story, and has to battle with the stupid Giant once and the dragon twice in this very brief story. Tolkien not only makes his readers believe that the hero deserved to be the hero by making him combat several villains but also convinces the people around the hero as in the case of Bilbo and the twelve dwarves as mentioned above. In *The Hobbit,* the multitude of villains are chronologically Trolls, Goblins and Wargs, Smaug and, of course, partially taking place, Gollum.

After summing up the part about binary oppositions, we can continue with the third character type developed by Propp which is also linked to the fairy element in Tolkien's *The Hobbit*. For Propp, the Donor: It might also be called the "provider". "Usually he [the donor] is encountered accidentally—in the forest, along the roadway, etc…It is from him that the hero (both the seeker hero and the victim hero) obtains some agent (usually

magical) which permits the eventual liquidation of misfortune. " (Propp, 2008, p. 39). In this story, the donors are more than one as well; one of them is Elrond after helping the hero by translating the map Thorin had. Another one is Beorn that attacks the goblin army and saves Bilbo and his team when they get stuck. Beorn is depicted to be "a skin-changer" …. [and] he changes his skin; sometimes he is a huge black bear, sometimes he is a great strong black-haired man with huge arms and a great beard" (Tolkien, 1993, p. 116). As we see, both Elrond and Beorn have the qualities of the donor: Encountering in the middle of the journey, getting the magical item, having magical powers, etc.

The fifth character in the dramatis personae is The Princess and her father (in some sources they are analysed separately): As Propp states it, "The hero sometimes receives a monetary reward or some other form of compensation in place of the princess' hand" (2008, p. 64). In this identification, he gives chance to the metaphoric meaning of the princess. It does not necessarily have to be a beautiful young woman whom the hero is going to be married with at the end of the tale, but it might also be a treasure or some "monetary reward." Similarly, in *The Hobbit*, there is neither a princess who is a woman or a beautiful young girl nor a father that can be taken in literal terms. In the novel, what the hero obtains is the treasure of the Smaug the Dragon which is really high in financial value. This is foreshadowed at the beginning of the story as "He may have lost the neighbours' respect, but he gained well, you will see whether he gained anything in the end" (Tolkien, 1993, p. 14). Moreover, he gains respect from his friends, and a good moral lesson: "How on earth should I have got all that treasure home without war and murder all along the way" because all the fights and murders he experiences are for gold and silver (p. 273). Most suitable to the definition of Propp, he gains his share from the treasure: "In the end he would only take two small chests, one filled with silver, and the other with gold, such as one strong pony could carry" (p. 274).

The sixth character of the dramatis personae is The Dispatcher: This character is the character that informs the hero about a lack and calls him on a mission and in some cases the one who pushes him towards action.

The best explanation is retrieved from the webpage www.changingminds.org stated as it is the function of the Dispatcher to call the Hero for the duty, so his role starts at the beginning part of the story. It might be a member of the family like parents, Father of the Princess who asks the Hero to complete a group of missions before he marries the Princess. The Dispatcher may combine his function in the story with another function, like the False Hero, and if so, he generally acts with the image of a Helper ("Propp's Dramatis Personae", 2016). This is the best summary of the dispatcher. According to this summary and function of the dispatcher, there is no doubt that it is Gandalf in *The Hobbit*, who starts the mission of Bilbo and "who trails along behind" him and his team. On the very first pages of the story, the action starts to develop when Gandalf visits the hobbit in his hobbit hole and everything is arranged and, actually disturbing for Bilbo the hobbit, the hero has not much to say about it. Moreover, Gandalf follows the team throughout the journey, helps them when needed, assists them to finish the mission and returns back with the hero at the end of the journey.

The last character of the dramatis personae is the False Hero: This is the character who wants to make profit from the gained treasure the hero battles for or wants to marry the princess and he might be deceitful to the reader as he acts like a hero and joins the hero in this quest: "the folktale canon requires that false heroes be put to shame and the real hero exalted. Assigning difficult tasks leads to the happy conclusion" (Propp, 1984, p. 26). Another function of false hero is to see the distinction between the real heroic qualities and false heroic qualities in real no matter how similar they may look or how deceitful they may be through the course of the tale. In Tolkien's tale, on the one hand, the dwarves seem to be the false heroes because they do not have the heroic qualities of Bilbo even though they suffer and struggle throughout the journey:

> ... but they would all have done their best to get him out of trouble, if he got into it, as they did in the case of the trolls at the beginning of their adventures before they had any particular reasons for being grateful to him. There it is: dwarves are not heroes, but calculating folk with a great idea of the value of money; some are tricky and treacherous and pretty bad lots; some are not, but are decent enough people like Thorin and Company, if you don't expect too much (Tolkien, 1993, p. 204).

Bard the Bowman, who makes a claim on the treasure of the dragon at the end of the story, could be another idea for this "person of drama" from the book; however, I think he has some of the heroic qualities, too; at least he is the one who slays the dragon with his arrow. However, this would not make him a real hero because the hobbit is the one who discovers the weak spot of the dragon with some tricky and witty questions, and it is the most difficult part of the mission as compared to what Bard does. Another suggestion for Bard's being a false hero would be that he forgets about the ethics and needs of his people who shout, "King Bard! King Bard!" (p. 237) while he is addressing them: "Then even as he was speaking, the thought came into his heart of the fabled treasure of the Mountain lying without guard or owner, and he fell suddenly silent" (p. 239). This speech reveals that his real aim is to gain the golden treasure rather than answering the need of his public of a new leader. Towards the end of the next chapter of the book, the claim is literally revealed as "At the least he shall deliver one twelfth portion of the treasure unto Bard, as the dragon-slayer, and as the heir of Girion" (p. 250).

On the other hand, what we have to take into consideration about the definition of ''false hero'' is Propp's words that say "who undeservedly claim the prize of the hero" because this definition causes ambiguity. As mentioned, the dwarves are trying to get the treasure of their ancestors back from the dragon. That treasure already belongs to them! If we think about their physical and mental capacity they do their best throughout the journey and against the enemies and even at the battle. As mentioned, Bard has some heroic qualities and he is the one who kills the dragon, so he also deserves his share from the treasure. From this point of view, we could say that there is not a concrete false hero inside Tolkien's novel.

As seen in the discussion above, there are obvious similarities between Propp's dramatis personae and in folktales and Tolkien's characters in *The Hobbit*. Having discussed characterization in *The Hobbit* as a fairy-tale quality, which obviously establishes a link between the fairy tales written centuries ago and *The Hobbit* written in the first half of the

twentieth century, now, the next part of the chapter will focus on another fairy-tale aspect in the novel: The Use of Magic and Trickery, as well as the Implication of Moral Values through them. Magic is a factor which is widely applied to folktales, and as widely accepted, it is the distinctive element of fairy tales, or in other words, it is an element what makes a fairy tale. It takes place in Propp's *Morphology* as a tool that the donor uses, and Tolkien explains his understanding of magic in his article *On Fairy Stories* as "Faerie itself may perhaps most nearly be translated by Magic—but it is magic of a peculiar mood and power at the furthest pole from the vulgar devices of the laborious, scientific, magician" (2008, p. 323). According to Tolkien, magic should not be a product of technology or machines but something that gives power to the hero or his assistants to dominate the enemy. In his letter to Milton Waldman in late 1951, he reveals what he means by the use of excessive magic stating, "all use of external plans or devices (apparatus) instead of development of the inherent inner powers or talents". He even does not like giving the right to his heroes to use his "talent" or "inner powers" to dominate his enemy in a corrupted way or demolishing the actual world. "The Machine is our more obvious modern form though more closely related to Magic than is usually recognised" (2006, pp. 145-146). Magic should not be an item that solves all kinds of problems of the hero, something that he practices whenever he needs it or in some moments when he does not necessarily need but to achieve imbalanced power against nature and breaking the harmony of nature. In short, what type of magic Tolkien likes placing in his fiction comes to stage with different incidents. First, when Bilbo uses his talent and intelligence to gain the magic ring and he makes use of it against his enemy only to escape rather than slaughtering even though he has the opportunity and power to do so with this magical item. Secondly, when he uses the Orcrist or Biter - the magic swords - against the Goblins firstly aiming to protect himself and later using these magic swords and ring against the spiders to protect himself and his friends rather than attacking. Thirdly, he uses the ring against the dragon to learn its weak spot instead of

making use of it unfairly. It is clear that for Tolkien, magic cannot be an instrument to take revenge with bad intentions.

Other characters who apply magic in the novel are Beorn - the skin-changer – and Gandalf –the wizard. They represent Tolkien's basic rule of use of magic. Tolkien tries to make the distinction between two types of magic because, according to him, it might be an item to decide the evil and the good according to their uses which are explained by Michael J. Brisbois: "Tolkien's version of magic is limited enough that it does not entail sweeping changes to the culture and therefore is not a major factor, but there are clear distinctions between the magic of the good and the sorcery of the evil. The simple fact that there is a terminological difference is a symbolic divider between good and evil" (2005, p. 202).

As Brisbois explains, the use of magic and trickery in Tolkien's style is a way of implementing moral values for Tolkien in his writing. It can be seen in several scenes in *The Hobbit* as well. Being a professor at Oxford University, which has been among the strongest foundations to serve Christian discipline, Tolkien was affected by the Christian ideology in doing so. According to Davin Brown's discussion in his book *The Christian World of the Hobbit* (2012), Tolkien stresses on the hesitation of human towards the discipline of Christianity – whether he is to act according to what is told in the Holy Bible or not – while his heroes take action against challenges they face in the physical world, yet the human hesitation cannot be limited only to the hesitation of a Christian towards the discipline of the Holy Bible, and it can be seen in the other revealed religions such as Islam and Judaism, as well as in non-revealed religions. Tom Shippey supports Brown's ideas about Tolkien's use of moral values in his article "Tolkien and the Gawain-Poet" (2007) stating, what is interesting for people who experience Tolkien's fiction after four decades is that Tolkien reflects an artist image very carefully and maybe compulsively who dedicated himself to Catholic Christian practice. However, he adds imitations of another tradition which is also the origin of "pre- Christian tradition of native fairy-tale and monster story and combines them to build up a new tradition which is "an essentially secular code based on humour, etiquette and good manners" (2007, p. 74).

In his letter in 1954 to Peter Hastings, the manager of the Newman Bookshop, Tolkien also writes that his aim is "the elucidation of truth" together with "the encouragement of good morals in this real world" through "the ancient device of exemplifying them in unfamiliar embodiments" as a writer (2006, pp. 187-196). This view is further criticized by Brown because even though the ethical choices that characters in Tolkien's fictional works have to make are generally intricate and so are hard choices to make, there is an inevitable right option to choose-that right option is not only right for the case the character comes across but also has a universality. Therefore, if there is a universal and inevitable right choice to make for the character in Middle- earth, so is there an inevitable and universal wrong option that is to be avoided. Brown explains this stating while portraying the undeniable truth, the concepts of right and wrong which are not subjective, and good and evil which does not change from person to person, Tolkien depicts a world which is in accordance with the teachings of Christianity (Brown, 2012, p. 124).

In *The Hobbit*, Tolkien represents Bilbo in a way that he first feels this hesitation after he gets stuck because Gollum keeps the only exit to escape. Now deceiving Gollum with a tricky riddle, he gets the magic ring and also he is expecting to escape from Gollum and goblins; however, he has to overcome Gollum to do all these. He hesitates whether to "…. get away, out of this horrible darkness …." or to "…. fight …. stab the foul thing, put its eyes out, kill it …. to kill him" but he ends up deciding "No, not a fair fight" (Tolkien, 1993, p. 90). As a writer who favours his hero's balanced and fair use of power against his enemies, Tolkien proves his moral courage through Bilbo. When he faces Gollum, Bilbo has four reasons why beating his enemy through the use of magic unfairly on Gollum would not be ethical. First of all, the hobbit has the unfair advantage of invisibility. Secondly, Gollum does not have a sword while Bilbo has and if Bilbo slew an enemy unarmed, it would not be fair. The third reason is Gollum has not intended to kill Bilbo, at least, so far, he has not shown such an intention. The last and the most important reason is Bilbo has mercy on Gollum as he is pathetic, in loneliness, and in the middle of nowhere. After thinking carefully and deliberately, even though

he is frightened and doubtful about Gollum, Bilbo comes to a certain decision. Getting strength from this thorough reasoning, he jumps over Gollum without giving any harm or murdering him (Brown, 2012, pp. 127-128).

In Chapter Six of *The Hobbit*, when Bilbo loses his friends in a battle between the goblins and rescues himself: "He [Bilbo] wondered whether he ought not, now he had the magic ring, to go back into the horrible, horrible, tunnels and look for his friends" and makes the right decision as "He had just made up his mind that it was his duty, that he must turn back- and very miserable he felt about it …. " (Tolkien, 1993, p. 94). This part is also important because Bilbo, now invisible with the help of the magic ring, secretly listens to his company for whom he does not think much to risk his life and thus turns back to the dwelling place of the goblins to look for them, and he is shocked because dwarves are grumbling that "He [Bilbo] has been more trouble than use so far..." (p. 95) and they are unwilling to turn back and only Gandalf is trying to convince the dwarves that they should turn back at least to see "if he was alive or dead" (p. 95). Here, Tolkien demonstrates the difference between moral heroic qualities of Bilbo and Gandalf and the dwarves who act immorally in that sense because "…. dwarves are not heroes but calculating folk with a great idea of the value of money; some are tricky and treacherous and pretty bad lots; some are not, but are decent enough people like Thorin and Company, if you don't expect too much" (p. 204).

In Chapter 16, entitled "A Thief in the Night", there is another display of moral courage by Bilbo, trying to solve the tension between dwarves, men, and elves. Bilbo secretly goes to the opposing group to give away his own share of the treasure if they end the battle. It is a great courage to do this to go to the opposing camp as well as it is a significant risk to do so against the will of his friends, but he thinks it is the right thing to do. It is again a moral action to act against the greedy wills of beings around him when he has to make the hard decision of "whether or not to violate Thorin's trust and offer the Arkenstone to Bard" or "whether or not to return to the dwarves where he will certainly face Thorin's wrath". In both cases, we

can see from the content that there is an inevitable right decision to be made (Brown, 2012, p. 128).

As mentioned in the previous chapter, moral values are of utmost importance in a fairy-tale since it was employed as an artistic means to edify its reader, and thus most probably fairy tales might have been used by religious circles to teach morality to their followers. As Bruno Bettelheim, the highly-acclaimed American philosopher puts it, in his book *The Uses of Enchantment: The Meaning and Importance of Fairy Tales (1989),* teaching moral values through tales to the modern child is the best way rather than giving him a sermon for hours. "He [the child] needs- and this hardly requires emphasis at this moment in our history-a moral education" and the best method for this teaching is "not through abstract ethical concepts but through that which seems tangibly right and therefore meaningful" and moreover a teaching "which subtly, and by implication only, conveys him the advantages of moral behavior." He gives the solution right away, "The child finds this kind of meaning through fairy tales" (p. 14). Even today literary works like *The Hobbit* may be used to teach and implement moral values in a world which is full of greediness and corruption. It may be because of these moral messages that *The Hobbit* satisfies the expectation of its readers. Tolkien writes in a letter to Stanley Unwin on 31 July 1947 that "There is a 'moral', I suppose, in any tale worth telling" (2006, p. 121). He does not reject religious references in his writing while giving moral messages as he writes in another letter to Milton Waldman as well: "Myth and fairy-story must, as all art, reflect and contain in solution elements of moral and religious truth (or error), but not explicit, not in the known form of the primary 'real' world" (2006, p. 144). As for moral messages and values, Brown states that "In the moral landscape of *The Hobbit*, readers find an ethical setting that is strangely familiar—a world where free will, personal responsibility, and the need to discern and make right choices are critical; a world where greed is pervasive and must be countered by embracing a very different kind of value" (2012, p. 159). These two letters from Tolkien, and Brown's views are enough, to sum up Tolkien's ideas on moral. He obviously uses

magic and trickery along with religion to render his moral messages in *The Hobbit*.

In conclusion, it has become known that Tolkien had a great interest in fairy tales from the very beginning of his career as a writer and he knew and studied them a lot. As Shippey argues, "It should come as no surprise if I remark that Tolkien was from an early age interested in rather unexpected genres. One was nursery-rhyme …. Another was the riddle …. A third was fairy-tale: there is no need to dilate on Tolkien's scholarly and creative interest in these" (2007, p. 303). All the critical views and quotations from *The Hobbit* illustrate that the novel visibly has fairy tale elements which fit not only into the characteristics of traditional fairy tales but also into Propp's dramatis personae he detected in Russian fairy tales.

3. Chapter Three: The Universal Blueprint: Tracing Propp's Functions from Hollywood to the Shire

The previous chapter debated how some fairy tale characteristics may be applied to *The Hobbit,* along with the dramatis personae within the morphological frame of Vladimir Propp. However, this chapter explores the ways in which the "functions" which Propp catalogued in his morphology could also be applied to *The Hobbit* as a fairy story. In so doing, the chapter first argues that the functions developed by Propp are not limited to Russian fairy tales, but they can be also applied to the fairy tales of other countries and cultures like Korean, American Indian, Chinese, as well as other genres such as *Star Wars* films, *Anastasia* cartoon, *Lawrence of Arabia* movie, *Harry Potter* books-among the best samples of the fantastic novel genre, etc. This view takes us to the second point which the book argues, a point that *The Hobbit*, as a fantastic novel, represents the "functions" which Propp created. Eventually, the main point is that what Propp did in the *Morphology*, in fact, represents the universal aspects of fairy tales that are more or less common to countries other than Russia.

3.1. Previous Applications of the Morphology to Different Genres

Propp's study of *functions* in the *Morphology* has aroused critical interests in which they have been applied to the fairy tales of different countries. For example, Alan Dundes, a worldwide known folklorist, applied the *Morphology* to different folktales including the American Indian ones. In one of his comparative studies in which he compared European and American Indian tales to see if they have similar functional structures which he called "motifemes" and character types; he came to conclusion that "American Indian tales have far less motifemic [functional] depth than European folktales". He focused on functions he called "Lack (Propp function 8a) and Lack Liquidated (Propp function 19)". These two functions are distant from each other in the story-line of European tales, while "a lack is liquidated soon after it is stated" in American Indian tales (Dundes, 1963, p. 127). Thus, this study is equally important with regard

to Propp's claim that "All fairy tales are of one type in regard to their structure" (Propp, 2008, p. 23) because as Dundes comes to the conclusion at the end of his experimental study that "morphological analysis" of the folktales that belong to American Indians gives you the opportunity to utter "typological descriptive statements". These statements also give the scholars who study folklore the opportunity to analyse the "cultural determination of content", to foresee a possible shift in culture, and to undertake "cross-genre comparison". The most important opportunity such studies give you is to reveal whether or not certain structural patterns are universal (1963, p. 129).

Also, Ahmad Rezaei applied the *Morphology* to Korean folktales in his article entitled "Character & Characterization in Korean Folktales Based on Propp's Pattern" (2010). He examined "7 Dramatis Personae" of Propp in different Korean folktales. He concludes: "Although can said [*sic*] most of the Prop pattern's characters can be saw [*sic*] in Korean popular stories, but the base of the stories are [*sic*] to review victim hero [HV], villain person [V] and magical factor [M]. So you can find fewer stories without these base elements" (Rezaei, p. 202). Similar to Dundes' study above, this study is also highly important in the sense that it shows that Propp's morphology could be also applied to the fairy tales in Europe or in other continents rather than only Russia because what Propp did in the *Morphology* was originally linked to the Russian folktales only; he was neither aware of the European folktales, nor of the fairy tales of the other countries across the world.

Moreover, Paul S. Powlison applied the *Morphology* to a Yagua Folktale in 1972. His study positively supports Propp's ideology of the folktales: "This experiment in the application of Propp's functional analysis to a South American Indian tale has upheld Propp's claim that such an analysis should be applicable to all folktales", and he continues to state that "It may have been noted that the Yagua "tale" analyzed here resembles more closely a myth than a fairy tale … and yet it yields remarkably to a Proppian analysis" (1972, p. 14). Furthermore, Grey Deniels also applied the *Morphology* to Yombe and Navajo folktales - "two cultures that have never been in a dialogue before" - in a study in 2013 (p. 29). Even though

he confessed he was "skeptical [about] Propp's functions" if they were "universal and applicable to Navajo and Yombe tales" as they were "solely applied to Russian fairy tales" (p. 2); however, then he came to the conclusion that after "studying Yombe and Navajo tales … these functions do exist in tales outside of the scope of Eurasia … despite being separated by time and space still manage to have a creation myth that, granted have differing content, propagates the same values" (p. 29). This study is important as it is a micro-proof of the universality of some common themes in fairy tales as debated in Chapter I with regard to the collective unconscious theory.

Apart from fairy or folktales of distinct cultures, Propp's morphology may also be applied to other literary genres as seen in the examples below. For example, Kai Zhang applied the *Morphology* to one of the Chinese classic fictions *Journey to the West* in his Master's Thesis so that he could examine the components the "quest story" that also make up the body of the narrative of the novel (2008, p. iii) and concluded his work stating: "These analytical theories [stated in the *Morphology*] provide a structural basis for the *Journey* which has familiar patterns and characters that appear in many myths, legends and folktales around the world" (pp. 101-102). Even though fiction is not a very distant genre to fairy/folk tales, most probably, this result would be surprising to even Propp himself. In a study by Auður Eva Guðmundsdóttir, moreover, an animated film "Anastasia" (1997) was examined according to the *Morphology*. In the concluding part, it is stated that "It has all the necessary elements of a fairy-tale and rather easily fits into Propp's system" (2010, p. 37). It is highly interesting to see the applicability of Propp's *Morphology* to such great variable genres which not only seem structurally distant from each other but are also very much connected with the diverse creative process.

However, not everybody came to the same conclusion. Divya Sreenivas, for instance, wrote a dissertation in 2010 focusing on analysing entertainment-education films according to Propp's morphology. She claims that "Propp's framework, which presupposes a classic comedy structure, can be effectively used to analyse narratives from other genres…" (p. vi). Sreenivas analysed four films called "Longtime

Companion", "All About My Mother", "Yesterday" and "Mirugam" in four different languages - English, Spanish, Zulu and Tamin - and concluded that all the 31 functions and 8-character types defined by Propp exist in all of the four films studied; however, 31 functions was not linear as Propp explained them to be (p. vi). Sreenivas' study challenges one of the four important foundations of the *Morphology* which is "The sequence of functions is always identical" (Propp, 2008, p. 22); however, interestingly, all the elements of fairy tales (functions and character types) exist in entertainment- education films - a very distant genre, again. Besides, Sreenivas has a strong claim which has served an inspiration to other similar studies as "Propp's framework can be effectively used to analyze film narratives" (Sreenivas, p. vi). According to this study, the *Morphology* "is a useful analytical tool to form the basis of film commentary [for film critics]". A film critic can understand whether the plot of a film flows logically or not by using the outline Propp draws in the morphology (p. vii). The study also claims to have a significance for film producers as applying Propp's morphology while analysing the script of a movie can be helpful to film-producers to create coherence in scripts "structurally and characterologically" (p. viii).

As in the previous study, John G. Thomas has some speculative findings. He uses the *Morphology* to analyse another movie called "Lawrence of Arabia" (1962). The movie is considered to be among cult classic movies and has been subject to many studies as well as being a great box-office success. Thomas finds all 31 functions in the screenplay of the movie; he claims Propp's narrative schema help the story in a positive way as they can act as a guide if a part of the screenplay loses its fluency or if the drama does not attract you (Thomas, n.d.). According to Thomas, Propp's formula, in a way, was also the formula of fluidity in a text. In that sense, it must be analysed whether it is the medium of success or not in the box office and whether the Proppian narrative is a source of aesthetics in the reader or the audience.

Similarly, Joel Hunter asks the question "Why has the Harry Potter series of books been so popular?" in his critical work entitled *Folktale Structure as the Key to the Success of the Harry Potter Series* (2012) and reveals the

short-cut to box-office success. He analyses Dramatis Personae and 31 functions, starting from the hypothesis that there is a positive correlation between the "the aesthetic satisfaction with any particular book in the Harry Potter series" and their applicability and appropriateness to Propp's morphology (Hunter, p. 1). To do so, he applied an online survey to asses which of the Harry Potter series had the highest and lowest aesthetic satisfaction reaching the conclusion that *Order of the Phoenix* and *Philosopher's Stone* had the least aesthetic satisfaction, respectively. Hunter compared these results with the schema he formed using the *Morphology*. While using the *Morphology*, he checked if all the books in the series fitted Propp's sequential function theory; i.e., if they are in the correct order or not. The result was, indeed, quite interesting: "We see that *Order of the Phoenix* has the greatest Incongruity [a formula he used by multiplying number of non-sequential functions and displacement of non-sequential functions] measured against the linear sequence of folktale structure. *Philosopher's Stone* has the next greatest Incongruity [non-sequential functions]" (p. 15). The tales which do not have the structural narrative form Propp outlined, also lack "aesthetic satisfaction" of the audience or the reader. The critical conclusion of this interesting study is interesting as well; as he states that the series owe its popularity and satisfaction over the reader to its form in the folktale structure. The author artistically created a fairy tale of hundreds of pages that satisfied readers of different ages throughout the world (pp. 21-22). He comes to this conclusion finding that "the Harry Potter series of books follows the schema of fairy tale as outlined by Vladimir Propp" (p. 21). Supporting Thomas' study on the movie *Lawrence of Arabia,* Hunter, in a way, claims the *Morphology* might be also the key to the success of the product for the interest of the audience or the reader.

Margaret L. Lundberg also used the *Morphology* in her thesis entitled "If the Shoe Fits" to analyse Perrault's version of "Cinderella" and then the three television show imitations of this story which are live-television programme called "Rodgers and Hammerstein's Cinderella" (1957), an episode of ABC's "Ugly Betty" (2006), and "La Fea más Bella" (2007) which was produced by Mexicans. After analysing the texts and even

though realizing that there are some small differences between the adaptations of the story according to the region it belongs to, Margaret states that there is obviously something with this story that can be related to as recent as the 21st century "a universal archetypal structure that is so familiar deep down that it draws us to the story in spite of our intellectual issues with things like fairy godmothers, princes and glass slippers" (Lundberg, 2013, p. 30) and about the *Morphology* she notes the conclusion that all the four adaptations fit Propp's functions as well as the defined character types. (p. 17).

Jay S. Arns applies the *Morphology* to the epic tales of "Gilgamesh", "Beowulf", and "Odysseus" because fairy tales or folktales, myths, epic tales and fantastic tales all have the similar narrative technique, subject matter, and dramatis personae, so what is relevant for one of them is rarely irrelevant for the other one. However, what's interesting with this study is that Jay does not completely apply the *Morphology* with all its functions but only with Propp's statement saying: "The hero is transferred, delivered, or led to the whereabouts of an object of search" (Propp, 2008, p. 50). Taking this statement as his critical point, he analyses the trips in the epic tales mentioned above if they fit the definition drawn by Propp. His concludes that "…Propp′s theory may be extended to include the trips into the underworld of the heroes of three great oral epics from the Western tradition …" Each of the heroes in the epic tales was able to finish their trip by a tool which was listed by Propp in the morphology (Arns, 2005, p. 28).

Another similar study was done by Anna Patricia T. Opheim in her Master's Thesis entitled "Once Upon a Time in a Fantasy" where she analyses three books of the fantastic literature "Caroline", "Harry Potter and the Philosopher's Stone" and "The Amber Spyglass" according to Propp's morphology. Her findings in the concluding part are highly important as she claims that fantasy is made up of fairy tale components. Fantasy is made up of its fairy tale "heritage". She adds that the structures of fantasy and fairy tale are similar to each other and therefore most of the functions of the *Morphology* can be found in fantastic works, too. "Some functions were present in all the books" (Opheim, 2010, p. 82).

There are two other applications both of which were applied to the same work: "Star Wars" which is a popular movie series as well as having the elements of science- fiction and fantasy genre. The analysis of "Star Wars" as a fantastic work is also important for this study due to the fact that it illuminates how fairy-tale characteristics are not fixed and stale but continue to inspire the artistic productions in the following generations. The first study was done by Janis Lesinskis in 2010 with the title "Applications of Vladimir Propp's formalist paradigm in the production of cinematic narrative" and focused on the film "Star Wars" (Episode IV: A New Hope 1977). First of all, he explains why he uses the *Morphology* though it is not designed for cinematic purposes:

> While Propp's project was not specifically cinematic by nature or intention, it has provided a schema by which story (in Propp's case, the folktale) can be conceptualized as syntagmatic structure with defined syntactic components (dramatis personae and functions) for the production of cinematic narratives (films) (2010, p. 70).

At the end of the study, Lesinskis reaches very concrete results: "This analysis presents evidence that plot functions and scenes in this particular film can be easily cross- referenced with Propp's morphological functions" (p. 83). It is not the only result he reaches but he also states that the particles that make up the meaning in the text of the movie can be directly adjusted to the functions and character types Propp defines. "The binaries and their emotional 'charge', as described by Propp, are not only traceable, but are also methodically preserved in this production" (p. 84). Lesinskis furthers his claims focusing on the *Morphology* and the film-making industry saying that even though the *Morphology* seems to fit the movies of adventure, war and western; romance films like "Eternal Sunshine of the Spotless Mind" perfectly fit its functions and dramatis personae, too (p. 85). The second critical work about *Star Wars* was submitted two years later in 2012 by Aaron Louis Nusz with the title of "The Foundational Structures Behind Star Wars." At the end of his study, Nusz concludes putting the *Star Wars* movie under the heading of mythological tales. (2012, p. 121). Helen Fulton supports the conclusion above stating that the structure of the *Star Wars* movie is in the form of a quest story which includes a travel from somewhere to somewhere and this form is frequent in adventure movies (2005, p.101). After the introduction part, we start to

follow the group of heroes on a journey. He discovers that this structure of the quest story, drawn by Propp and detailed by Joseph Campbell in *The Hero with a Thousand Faces* (1949), adopted by film directors such as George Lucas who wrote and directed *Star Wars* film series from 1977 to this day and Stephen Spielberg who directed *Indiana Jones* film series and wrote them with the assistance of George Lucas and Philip Kaufman, has been used as the fundamental "structuring device" of *Star Wars* (2005, p. 101).

The valuable findings above will be the core of this study, too, because as mentioned at the beginning of this chapter, *The Hobbit* is labelled as fantasy by many scholars and takes its place on the fantasy shelves in bookstores and libraries. We will see if it also carries some qualities of fairy tales. Before analysing *The Hobbit* according to the principles drawn by Propp, I would like to focus on two studies on Tolkien's *The Hobbit* by Nathalie Giroud (2009) and Alberto Amoza Davila (2016) which have some parallels with this study, but more importantly, have considerable contradictions which need criticizing. Alberto Amoza Davila claims that Tolkien's *The Hobbit* is completely appropriate in terms of the theoretical descriptions about the fairy tales made by Propp and Tolkien, so the novel can be analysed according to the *Morphology* (2016, p. 41). This is how Davila concludes his thesis which he prepared to claim fairy elements in *The Hobbit* and used, as part of his claim, Propp's morphology and analysed the novel according to Propp's 31 functions and 7 dramatis personae. Moreover, Nathalie Giroud has a similar outline and technique with a similar claim and implies a similar conclusion. The conclusions of both works are more or less the same with this study and, most probably, one would find it quite hard to claim something else. Nevertheless, they have disappointing theoretical and practical mistakes in applying the *Morphology* to the text. First, both studies take into consideration only the Appendix I at the back of Propp's morphology, and they apply the *Morphology* to the plot of *The Hobbit*. Controversially, in many of the studies mentioned above, the text is applied to the *Morphology* which is more suitable to adopt. If you follow the storyline of a work and try to find parallels between the text and the appendix at the back of Propp's book,

you can easily find many of Propp's functions in many works. Doing such a work does not prove whether a literary work has fairy elements or not, but only establishes artificial bonds between the work and the *Morphology* which is not among the aims of Propp. In such studies, metric materials should be treated without being modified, and the text the claims about which are to be assessed should be modified to it.

Second and more questionable claims are about the recurring characteristic of fairy tales which was explained earlier as repetition in this study. Both studies claim that some functions of the *Morphology* are repeated as a group in the text. Davila claims that "After Bilbo's departure, Tolkien builds the development of the tale with a *repetitive scheme* [emphasis added] …" (p. 30). He explains this repetition:

> Bilbo and his comrades face a series of foes, or villains and, in terms of Propp's functions, their encounters, follow a similar pattern. Following the Russian's designations the base scheme for these battles will be D-E-H-I-F, corresponding to functions XII, "the first function of the donor"; XIII, "the hero's reaction"; XVI, "struggle"; XVIII, "victory" and XIV, "provision or receipt of a magical agent", respectively (p. 30).

According to Davila, the incidents of Bilbo's encounter with his different enemies - trolls, goblins, wargs, Smaug the Dragon and, moreover, the incident when the company rest in Beorn's house - has the same outline and this can be explained by the repetition of fairy-tale characteristic. Similarly, Giroud claims that "… the first two stages of step 3 ["the first act of villainy" and "transition"] are doubled. Repetition is often present in folktales: a second act of villainy occurs when the goblins and the wargs trap the company in trees and the transition is brought by the rescue of the Eagles" (Giroud, 2009, tolkiendil.com). There are critical mistakes with these findings as well as a contradiction to four fundamental rules of the *Morphology*. Before explaining the mistakes with the fundamental rules of the *Morphology*, it would be necessary to focus on some points in Davila's study which even contradicts itself: "The similarities of both encounters with the trolls' and the goblins' are evident. However, and despite the fact that the Great Goblin is killed, the "victory" of the company in this battle is a rather relative one" (2016, p. 31). Davila, forcing himself to fit every incident in the book to a function of Propp's morphology, rather than

working on the major events or taking the *Morphology* as the basic material, has some problems following the storyline of the novel. He tries to explain this with such excuses as the one above or the following ones. "… their [Bilbo and his company] victory over the goblins was only a partial one …" (p. 31). Because if it were not a "partial victory", it would be difficult to explain it according to Propp's morphology as this function would have to repeat itself and break the linear order which is highly contradictory to Propp's syntagmatic theory. He even, in a way, literally confesses his failure:

> Moreover, the group, as happened with the goblins, does not achieve a clear "victory" over the Wargs, as they manage to escape thanks to the great Eagles who rescue them.
>
> Function F is thus fulfilled, as the group gets the help of a magical agent, while function I remains *unsuccessful* [emphasis added] (pp. 31-32).

He even finds a metaphorical enemy and claims "The villain, or foe, is now Mirkwood, a great forest that lies in the way between Beorn's home and Erebor, the destination of Bilbo's group" (p. 32). This is also a vital mistake according to the *Morphology* as he tries to explain a function with a contextual item which needs to be analysed with structural elements only.

Another problematic finding in Davila's study is related to the second and third functions of the *Morphology* which are "an interdiction is addressed to the hero. (Definition: interdiction)" and "the interdiction is violated (Definition: violation)" (Propp, 2008, pp. 26-27). Davila claims that "… when Thorin commands his companions to give him the Arkenstone the moment they stumble upon it, thus addressing an interdiction (stands for function II)" (2016, p. 34). This cannot be an interdiction because an interdiction is a kind of warning not to stray from the path. In this case, the interdiction and violation of interdiction actually happen when the company does not listen to the warnings concerning Mirkwood and leave their normal path which causes them many troubles. How these two functions should be analysed in terms of the *Morphology* is explained in this chapter in greater details.

Finally, the strongest evidence for the inconsistency in these two studies comes with Propp's theories. He states that there are four fundamental

rules and third of these four rules claims that "The sequence of functions is always identical" (Propp, 2008, p. 22). He goes further saying, "The sequence of elements [functions]…is strictly uniform" (p. 22). This means that first function comes first, and the last function comes last in the storyline of a fairy tale. This converses the claims in Davila's and Giroud's studies which are explained as some functions repeat throughout the text as this repetition would break the rule about the sequence.

To sum up, as seen in the discussions above, although Vladimir Propp's *Morphology of the Folktale* was mainly applied to Russian folktales, it is interesting that it has been applied to a multitude of genres from romances to war movies, from tales of very distant cultures to short films. The reason could be the idea that what Propp did for Russian fairy tales has the universal implications since the human beings, though sometimes different in certain ways, have many similar responses to life and reality around, so that "certain structural patterns are universal" in many productions. Among the best-fitting ones are Star Wars, Harry Potter series, Lawrence of Arabia and, surprisingly enough, we know these movies as success in the market. It might be the topic of another case study questioning if a secret key to financial success of a work of art is hiding within the *Morphology*. The studies above show, that Propp's *Morphology* could be applied not only to any fairy tale, but it could also fit the other samples of different genres. What is interesting is that the studies of Dundes and Rezaei indicate that whatever Propp did for Russian fairy tales has universal implications. The conclusion reached at the end of Rezaei's study that "…you can find fewer stories without these base elements [victim hero, villain person, magical factor]" (Rezaei, p. 202) seems like an answer for the wonders of Dundes that "whether or not, certain structural patterns are universal" (Dundes, p. 129) positively.

3.2. Application of the Functions in Propp's *Morphology* to *The Hobbit*

This part of the chapter will debate whether Tolkien's *The Hobbit* which has been a bestseller in bookstores for years, as well as a success in the cinema business, fits the morphological "functions". As for "functions" of

the *Morphology*, A. C. Petty makes the following statement: "The classical stages of the hero's quest agreed upon by most scholars of folklore, sociology, and comparative mythology - *separation* (usually from community), *initiation* (transition from childhood to maturity), *return* (knowledge gained) – are easy enough in the progress of our own eyes" (2002, p. 10). Similarly, Joseph Campbell, the famous mythologist, divides the cycle of the hero into three - "departure", "initiation", "return" - in his canonical work *The Hero with a Thousand Faces* (1949). Vladimir Propp's starting point, while preparing the *Morphology,* was not a different motive and did not reach a completely different target. What he did was working in a more detailed way and using this "collective" schema of the fairy tales to draw a universal outline for these tales. As explained earlier, he explained fairy tales with 7 dramatis personae and 31 functions. In Chapter II dramatis personae was debated in detail in the Proppian sense. From this part on, the most eye-catching functions of the *Morphology* which seem strikingly relevant to *The Hobbit* will be analysed: Absentation (Number 1), Interdiction (2), Violation of Interdiction (3), Testing (12), Reaction (13),

Acquisition (14), Struggle (16), Victory (18), Resolution (19), Return (20), Arrival (23),

Transfiguration (29) and Wedding (31).

First, there is an initial situation which is described by Propp (1968) with these words: "A tale usually begins with some sort of initial situation. The members of a family are enumerated, or the future hero (e.g., a soldier) is simply introduced by mention of his name or indication of his status. Although this situation is not a function, it nevertheless is an important morphological element" (p. 25). This situation is a general introduction to the tale. In *The Hobbit*, the chief hero, Bilbo Baggins, is introduced and described in great details in character and appearance, together with some information about his neighbourhood and his past mainly with a special focus on his family and the clash of opposite qualities he gained from his father's ancestors and his mother's ancestors as discussed in Chapter II. The number of the family members does not change or is not "enumerated"

in the story as the book does not have a real family concept; however, suddenly, the hobbit hole is filled with unexpected (even the title of the first chapter is *The Unexpected Party*) guests (one wizard, Gandalf, and thirteen dwarves) who behave like the people of that house. Critically thinking, this union should be accepted as what Propp means a "family" in the *Morphology,* and sudden qualitative change inside the "hobbit hole" with the intruders makes the novel perfectly fit for the concept of the initial situation as defined by Propp.

The first function is "Absentation" in which "one of the members of a family absents himself from home" (p. 26). When the hobbit meets Gandalf in the morning, he talks about an adventure, yet since the hobbits are lazy creatures for adventures, he rejects it but invites him for a tea next morning. Gandalf informs the reader that Bilbo will take the challenge saying: "In fact I will go so far as to send you on this adventure. Very amusing for me, very good for you and profitable too, very likely, if you ever get over it…" (Tolkien, 1993, p. 17). The quotation implies that the quest starts, and thus the hero really "absents himself from home":

To the end of his days Bilbo could never remember how he found himself outside, without a hat, walking-stick or say money, or anything that he usually took when he went out; leaving his second breakfast half-finished and quite unwashed-up, pushing his keys into Gandalf's hands, and running as fast as his furry feet could carry him down the lane, past the great Mill, across The Water, and then on for a whole mile or more (p. 38).

Before the hero decides to act instead of staying in his hobbit hole, the dwarves call him for duty with a song, the last stanza of which is conspicuous among others:

Far over the misty mountains grim To dungeons deep and caverns dim We must away, ere break of day,

To win our harps and gold from him! (p. 25).

The second function "interdiction is addressed to the hero" (Propp, 2008, p. 26). In *The Hobbit*, there are different adventures that the characters encounter but different limitations are imposed upon them by different people or creatures. Throughout the stories, there are various adventures that the hero and his team encounter, so that there are several minor

interdiction parts against the possible dangers they face but the main interdiction/warning comes from Beorn before they leave his area. He starts talking about the limited conditions in the dark forest, Mirkwood, saying: "…your way through Mirkwood is dark, dangerous and difficult…. Water is not easy to find there, nor food." and describing the forest for being "in there the wild things are dark, queer, and savage" (Tolkien, 1993, pp. 131-132). However, these are not what we can call interdiction. What we can call a clear interdiction comes after this briefing about the forest:

> But I doubt very much whether anything you find in Mirkwood will be wholesome to eat or to drink. There is one stream there, I know, black and strong which crosses the path. That you should neither drink of, nor bathe in; for I have heard that it carries enchantment and a great drowsiness and forgetfulness. And in the dim shadows of that place I don't think you will shoot anything, wholesome or unwholesome, without straying from the path. That you MUST NOT do, for any reason (p. 132).

The quotation indicates a typical interdiction in the fairy tales in which the movement of one person is hindered and prohibited by another either through force or through discouragement. Let us remember the interdiction in Brother Grimm's Little "Red Riding Hood" uttered by her mother to the young girl, "When you're out in the woods, walk properly and don't stray from the path. Otherwise you'll fall and break the glass, and then there'll be nothing for Grandmother. And when you enter her room, don't forget to say good morning, and don't go peeping in all the corners of the room" (Tatar, 1999, p. 14). As seen in the quotation from Tolkien and Brother Grimm's Little "Red Riding Hood", there are great similarities between fairy tales and fantasy works, and they are even more apparent in *The Hobbit* in the smallest details.

Just as Red Riding Hood strays from the path against his mother's warnings, so do Bilbo and his friends. It leads the reader to the next/third function of Propp in the *Morphology* – "violation" (Propp, 2008, p. 27). When the interdiction is violated, the hero becomes prone to have some difficulties such as danger from nature, beast, and witch on the way. The downfall of the team started with the fall of Bambur, one of the dwarves, into the stream that Beorn had warned them to be away from. The stream

starts forgetfulness if you drink, bathe or wet yourself by water from it. Bambur was "… drenched from hair to boots, of course, but that was not the worst. When they laid him on the bank he was already fast asleep…" (Tolkien, 1993, p. 143), which shows how the water had already started to show its effect. After several days passed, "He woke up suddenly and sat up scratching his head. He could not make out where he was at all, nor why he felt so hungry; for he had forgotten everything that had happened since they started their journey that May morning long ago. The last thing that he remembered was the party at the hobbit's house…" (pp. 146-147). Their hunger rises to its peak when they see "the light" "in front of them and to the left of the path" "but an effective way off their track" and being hungry prevented them from being wise and they decided to go that way taking the risks of "straying the path" "they all left the path and plunged into the forest together" which Beorn had strictly advised not to do. (p. 148) After violating this second interdiction, the team had to battle against giant spiders:

> Then the battle began. Some of the dwarves had knives, and some had sticks and all of them could get at stones; and Bilbo had his elvish dagger. Again and again the spiders were beaten off, and many of them were killed. But it could not go on for long. Bilbo was nearly tired out; only four of the dwarves were able to stand firmly, and soon they would all be overpowered like weary flies. Already the spiders were beginning to weave their webs all round them again from tree to tree. In the end Bilbo could think of no plan except to let the dwarves into the secret of his ring. He was rather sorry about it, but it could not be helped (pp. 158-159).

When it comes to the twelfth function described as the "moment" when "The hero is tested, interrogated, attacked, etc., which prepares the way for his receiving either a magical agent or helper (Definition: the first function of the donor)" (Propp, 2008, p. 39). *The Hobbit* is very rich when examined from this perspective because this moment coincides with Bilbo's meeting with Gollum. He is completely alone and has no assistant to get rid of this weird villain, and it is the best time for a hero to show his heroic qualities. Gollum, seeing and being afraid of the dagger in Bilbo's hand, offers Bilbo to play riddle game and "Riddles were all he could think of" but his true intention was to know as much he could learn about Bilbo, "Asking them, and sometimes guessing them, had been the only game he had ever played

with other funny creatures…" (Tolkien, 1993, p. 78). This is the testing and questioning of Bilbo and up to this part, the story carries two elements of this function: testing and interrogation. When the true intention of Bilbo is revealed about the riddle game, his heroic characteristics also start to appear: "…[Bilbo] was anxious to agree, until he found out more about the creature, whether he was quite alone, whether he was fierce or hungry, and whether he was a friend of the goblins" (p. 78). Even though he is not so brave as it is expected from a typical hero, he is clever enough to have a talk with his enemy until he can learn more about him, about his weaknesses and strengths, whether he is alone or has company, whether he is dangerous or innocent.

Towards the end of the riddle game, Bilbo cheats and wins the game and learns the secret quality of the ring he found: It is a magical object and gives invisibility. It is not very common or heroic according to the morals for a hero to cheat; however, Bilbo is the symbol of goodness, and cheating against the symbol of a fallen character, Gollum, is not considered unfair by the reader. The reader knows that this trick will be used for the benefit of the victory of the good side. Understanding that Bilbo had the ring he lost, Gollum turns crazy and attacks Bilbo, yet using the magical agent he has and the advantage of invisibility, Bilbo leaks through the path outside the area as far as Gollum cannot chase him anymore and successfully gets rid of his enemy. Generally, in this part, we see real battles, but Tolkien prefers to differentiate his hero not through his physical power but through his intellectual power.

Later, the narrative leads us to the function 13 and 14, in which "hero reacts to actions of future donor (Definition: the hero's reaction.)" and eventually "The hero acquires the use of a magical agent (Definition: provision or receipt of a magical agent.)" respectively (Propp, 2008, pp. 42-43). According to Propp's *Morphology*, the functions need to stick to some qualities mentioned earlier. One of them is that "The sequence of functions is always identical" (p. 22). Additional explanations of function

13 include the hero's withstanding a test, answering a greeting, freeing a captive, showing mercy to a suppliant, etc. however, the most apparent

explanations, in terms of its relation to *The Hobbit* are: “the hero vanquishes his adversary” and “the hero agrees to an exchange, but immediately employs the magic power of the object” (pp. 42-43). These definitions fit so perfectly into Chapter 5 “Riddles in the Dark” that definitions seem like a summary of this chapter. In this chapter, Bilbo encounters Gollum (greeting), feels afraid and sorry (mercy) about this weird creature. They start to play a game of asking riddles to each other and Bilbo beats (vanquishes) his enemy and he “employs the magic power of the” ring he obtains from Gollum (Tolkien, pp. 74-93). Right after this function, function 14 follows when Bilbo uses his magic ring against Gollum.

As discussed in the *Morphology*, the plot of a story, in a typical fairy, develops chronologically according to the sequence of the event through the cause-and-effect relationship. We see the story-line of *The Hobbit* does not fit this rule, that is, it does not go in accordance with what Propp claims it should go. To illustrate this, functions - twelve, thirteen and fourteen - come before the earlier functions like violation (function 3) or interdiction (function 2) in *The Hobbit*. This seems contradictory to Propp’s fundamental rule that they must go chronologically from the first function to the thirty- first function. There is one important thing here, which is to be kept in mind while evaluating this sequence rule. None of the characters in the story is aware of the earlier functions at the time they take place but only Bilbo, Gollum and later we learn Gandalf. It is only after Bilbo reveals his magical power in their battle against the giant spiders that the other characters become aware of the events that have taken place in accordance with the previous three functions. Bilbo keeps what happens to him as a secret from the rest of his company which blocks the normal sequence of functions. It is only after he has no option but to reveal his friends that these functions start to go according to the story-line of *The Hobbit,* in other words, the story-line of *The Hobbit* fits the sequence in the *Morphology* perfectly well.

The fifteenth function is that “The hero is transferred, delivered, or led to the whereabouts of an object of search. (Definition: spatial transference between two kingdoms, guidance” (p. 50). After long journeys and several

battles and adventures, the hero finally reaches his destination, "the Lonely Mountain where dear old Smaug lives" (Tolkien, 1993, p. 137). We can see various instances of this function in *The Hobbit* which are identical to what Propp explained in the *Morphology*. This function happens by "flying through the air" which is parallel to the case when the gang gets help from the eagles to escape the collaboration of wargs and goblins in Chapter 6 on the wings of the eagles flying until a safe place. It might also happen "travelling on ground and on water" which might be exemplified by travels all through their homeland to "the Lonely Mountain", and especially with the part when they travel on water inside barrels in Chapter 9. It might also happen when characters are shown "the route" as in the case of getting help from Beorn (Chapter 7) and inhabitants of the Lake-men (Chapter 10) by "making use of stationary means of communication" like the most shortcuts they find throughout their whole journey and by "following bloody tracks" as they have various battles with the enemies they encounter. (Propp, 2008, p. 51)

Later, the functions 16, 18 and 19, which Propp debated in the *Morphology*, could be related to *The Hobbit*. According to these functions, "The hero and the villain join the direct combat. Definition: Struggle" (p. 51). "The villain is defeated. Definition: Victory" (p. 53) and "The initial misfortune or lack is liquidated." (p. 53), respectively. Tolkien prefers to choose his heroes from common people or creatures who do not have extraordinary qualities like strength, body or a huge army. Hobbit is similar to this. To be a hero, a hobbit does not have much chance using his physical strength and he prefers to use his brains instead. Therefore, we cannot expect a Horation "god-like" hero who shows his physical power; instead, we need to expect a Tolkienian hero who gets mature throughout his journey mentally. Tolkien knits the events around the hero up to this point in a way that he mentally prepares the hero to be able to beat the villain when encountered. Bilbo starts the journey without any charisma of a hero and he is not respected among the dwarves. It is nobody but Gandalf who relies on him and gives him the chances of showing his heroic qualities. Tolkien gives this change towards the big combat with the dragon saying: "Already they [the dwarves] had come to respect little

Bilbo. Now he had become the real leader in their adventure. He had begun to have ideas and plans of his own" (Tolkien, 1993, p. 211). Escaping Gollum and gaining his ring after beating him in an intelligence test is one of these. Solving the puzzle of the map and finding the key when they reach at the dragon's mountain is another one. His battle with the dragon is one of the strongest qualities to show his wisdom. He tries to find the weak spot of the dragon thinking "Every worm has his weak spot, as [his] father used to say" (p. 211) because they have no chance of winning when they are proportionally compared as the dragon is really strong and very huge in size in comparison to twelve dwarves and a hobbit. He tries to find wise ways to have a talk to the dragon without revealing his identity and to gather as much information as he can from his gigantic enemy. He asks riddling questions and gives puzzling answers so that he can confuse the dragon, gain time doing so, and try to know his weaknesses:

> This of course is the way to talk to dragons, if you don't want to reveal your proper name (which is wise), and don't want to infuriate them by a flat refusal (which is also very wise). No dragon can resist the fascination of riddling talk and of wasting time trying to understand it. There was a lot here which Smaug did not understand… (p. 213).

As it is imagined, the battle between Bilbo and Smaug will not be an open field battle but it will be like a contest the winner of whom will be determined according to the "riddling talk" they have in the cave. Unlike traditional heroes, Bilbo says: "I was not engaged to kill dragons, that is warrior's work, but to steal treasure" (p. 210). This is what Bilbo will do: he will learn the weak spot of the dragon after some tricky talk to Smaug and let Bard the Archer kill the dragon with his arch after sharing this secret with him.

> The great bow twanged. The black arrow sped straight from the string, straight for the hollow by the left breast where the foreleg was flung wide. In it smote and vanished, barb, shaft and feather, so fierce was its flight. With a shriek that deafened men, felled trees and split stone, Smaug shot spouting into the air, turned over and crashed down from on high in ruin (p. 236).

The eighteenth and nineteenth functions will come following each other after the death of the villain. There is a battle about sharing the treasure of the dragon yet the battle is resolved with the victory of Bilbo, Gandalf and

his friends and others who help them win. They share the treasure of the dragon which is actually the last function of the *Morphology* numbered thirty-one described as "The hero is married and ascends the throne. Definition: Marriage" (Propp, 2008, p. 63). As it is known, there is not a marriage scene at the end of *The Hobbit*, so this function may seem inapplicable to the *Morphology*. However, Propp gives some alternatives or sub-categories of these thirty- one main functions. For example, he explains this function as "The hero sometimes receives a monetary reward or some other form of compensation in place of the princess' hand" (p. 64). Here the treasure gained from the dragon serves in compensation for a romantic gain. Hobbit takes his share from the treasure and becomes as rich as a person who ascends the throne. In so doing, the book fits the aforementioned function perfectly well with the help of extra explanations provided by Propp in the *Morphology.*

At this point, we are to stress a few more character qualities of Bilbo. As he is not a traditional hero, he does not treasure his material earnings from this adventure. Rather than celebrating his rich future life, he feels deeply sorry, tired and emotionally loaded and he reflects his emotions and is willing to give away his share of the treasure as "How on earth should I have got all that treasure home without war and murder all along the way, I don't know. And I don't know what I should have done with it when I got home. I am sure it is better in your hands" (pp 273-274). Especially the death of Thorin severely disturbs Bilbo and he partially feels guilty about it:

> I wish Thorin were living, but I am glad that we parted in kindness. You are a fool, Bilbo Baggins, and you made a great mess of that business with the stone; and there was a battle, in spite of all your efforts to buy peace and quiet, but I suppose you can hardly be blamed for that (p. 271).

Bilbo is a hero, now, who has seen many ugly faces of the earth so that he always prefers his friends' company to the most valuable treasures. He never loses his humanistic side full of emotions and prefers to be on the civilized side of "peace and quiet" rather than being among the barbarian side that battles for money.

After all these adventures, "… Bilbo starts on his long road home" (p. 275). The final phase of the hero's adventure circle took place:

> He had many hardships and adventures before he got back. The Wild was still the Wild, and there were many other things in it in those days besides goblins; but he was well guided and well-guarded-the wizard was with him, and Beorn for much of the way-and he was never in great danger again (p. 275).

Bilbo turns back to his hobbit hole. It can be inferred that he will live, from now on, his earlier humble life rather than assuming himself a traditional hero and seeking adventure all around the world. Not many changes will be noticeable from him if you do not count the spiritual wounds and his share of the treasure he achieves from this journey. He will turn back to the beginning as if all these have not been ever experienced. This cycle is best explained by C. N. Manlove (1983) as there is a "circulatory" form in the fantasy works of today different from conventional fairy tale structure. What is meant by circulatory form is that the hero often comes back to its initial social rank or original place where he started the quest while in fairy tales it is very common for the hero to finish the journey in a higher social status or richer financial position. This form also supports the fantasy's message of preserving things in their original state or fantasy's appreciation of 'being'. At the end of the journey in fantasy, a hero may simply turn back his home. That is also the case in Tolkien's stories: Bilbo turns back to his house in the Shire in *The Hobbit,* Frodo also turns back to his house in the Shire at the end of *The Lord of the Rings* after completing difficult tasks in faraway dwellings (p. 72).

CONCLUSION

The aim of this book is to examine Tolkien's *The Hobbit* as a fairy-tale novel through the characteristics of the fairy tale genre. In so doing, Chapter I explains, in detail, some of the general terms and definitions such as bad characters and good characters and the conflict between them in fairy tales, repetition, fairy moral values, use of the trick or magic in fairies through the examples from well-known fairy tales. In addition to these general characteristics and terms, the chapter also focuses upon some other speculative functions and dramatis personae catalogued by Russian folklorist Vladimir Propp in the *Morphology* as for Russian folk/fairy tales.

Chapter II explores how general characteristics of the fairy tale may be applied to *The Hobbit*, especially in terms of characterization and identity. As discussed in the book, the novel represents many similarities to fairy-tale characteristics in the first half of the twentieth century. That is, fairy-tales still found meaning in the early twentieth century when the world plunged to the gloomy phases due to the Spanish Civil War, the ascent of Hitler and Mussolini to the throne and pending World War II.

Chapter III focuses on the morphological analysis of *The Hobbit* according to *Morphology of the Folktale*. Before analysing this novel within this frame, the chapter mentions some of the previous applications in the literary world. These applications are also highly important as they are the inspiration sources for this book.

The connections between fairy or folktales and fantastic as a genre would be the best explanation why a metric material prepared for folktales perfectly fits a fantastic novel. Brian Stableford explains this familiarity with the words "Although it [fantasy] is the most recent genre of literature to acquire a marketing label, it is also the most ancient genre that is readily identifiable" and he claims that story-telling is the ancient art form that helped fantasy genre to flourish. He adds, "Storytelling is much older than literature

-although, by definition, it has no history other than its literary history - and the overwhelming majority of the stories that became visible to history

once writing had been invented were fantasies in the Chaucerian sense: strange and supernatural" (Stableford, 2009, p. XXXVIII). Another claim comes from Svein Angelskar as "Within fantasy literature one can see the use of elements belonging to a wide range of 'historically defined models of other genres.' Among the most common are the epic, myth, romance, satire, historical novel, utopian/dystopian tale, fairy tale, and fable" (Angelskar, 2005, p. 16) where he emphasizes that strong boundaries among the characteristics of these genres cannot be drawn. They are so close to each other that, one cannot clarify the differences between these genres and it is impossible to say that subject matter of one of the genres is not of the other, or they have completely different topics or characterization. Tereza Havířová utters a similar argument saying, "... it seems that there is no such thing as a united set of rules of the fantasy genre; it is interconnected with the history and elements of other genres, such as romance, fairy tale, or novel", and continues to state that fantasy was a comprehensible genre and its qualities could be seen in any genre where creative writing takes place (Havířová, 2007, p. 106). Rosemary Jackson, in a way, summarises all these arguments saying "The 'fantastic' derives from the Latin, phantasticus [….] meaning that which is visionary, unreal. In this general sense all imaginary activity is fantastic, all literary works are fantasies." (Jackson, 1981, p. 13). Havířová continues pointing out another similarity using Tolkien's arguments on fairy tales, "Fantasy definitely is a kind of 'escapist' literature - Tolkien himself describes 'Escape' as one of the main functions of fairy stories." (Havířová, 2007, p. 106). As we know, Tolkien gives three elements of the fairy tales as being "recovery", "escape" and "conclusion" and says, "Though fairy- stories are of course by no means the only medium of Escape, they are today one of the most obvious and (to some) outrageous forms of "escapist" literature" (Tolkien, 2008, p. 375). Rosemary Jackson writes almost the same sentence but this time the same sentence is used to describe fantasy instead of the fairy which proves that they have very similar characteristics with "its free-floating and escapist qualities" (Jackson, 1981, p. 1). Taking all these similarities into consideration, it is inevitable to accept the interrelation of the fairy story and fantastic and one which has motivated

me to make a cross-genre study: Applying an inventory created for fairy tales in *Morphology of the Folktale*, on a fantastic work, *The Hobbit*.

To conclude, *The Hobbit* is a good work to analyse according to the *Morphology*. It carries even more than the most striking eleven functions of the *Morphology,* but as Propp accepts, we do not need to find all functions of the *Morphology* in a fairy tale. The sequence is more important than the number of functions included in a fairy tale. Taking into consideration that Propp's morphology is applicable to most of the genres and is successfully appropriate in many cases, fantastic literary works would be the second most appropriate genre to apply it as it shares many fairy tale elements mentioned above. We do not have a convincing evidence if Tolkien read and was affected by Propp's morphology while writing *The Hobbit*; however, it is inevitable that it fits the *Morphology* as much as many fairy tales do. Finally, Tolkien was highly influenced by mythic and fairy elements and this influence is apparent in his many works just as in *The Hobbit.*

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