INFORMATION TO USERS

This reproduction was made from a copy of a document sent to us for microfilming. While the most advanced technology has been used to photograph and reproduce this document, the quality of the reproduction is heavily dependent upon the quality of the material submitted.

The following explanation of techniques is provided to help clarify markings or notations which may appear on this reproduction.

1. The sign or "target" for pages apparently lacking from the document photographed is "Missing Page(s)". If it was possible to obtain the missing page(s) or section, they are spliced into the film along with adjacent pages. This may have necessitated cutting through an image and duplicating adjacent pages to assure complete continuity.

2. When an image on the film is obliterated with a round black mark, it is an indication of either blurred copy because of movement during exposure, duplicate copy, or copyrighted materials that should not have been filmed. For blurred pages, a good image of the page can be found in the adjacent frame. If copyrighted materials were deleted, a target note will appear listing the pages in the adjacent frame.

3. When a map, drawing or chart, etc., is part of the material being photographed, a definite method of "sectioning" the material has been followed. It is customary to begin filming at the upper left hand corner ~~of~~ a large sheet and to continue from left to right in equal sections with small overlaps. If necessary, sectioning is continued again—beginning below the first row and continuing on until complete.

4. For illustrations that cannot be satisfactorily reproduced by xerographic means, photographic prints can be purchased at additional cost and inserted into your xerographic copy. These prints are available upon request from the Dissertations Customer Services Department.

5. Some pages in any document may have indistinct print. In all cases the best available copy has been filmed.

University Microfilms International

300 N. Zeeb Road
Ann Arbor, MI 48106

8312368

Reichbart, Richard Hugh

HEART SYMBOLISM: AN INVESTIGATION INTO PSYCHOANALYTIC SYMBOLISM AS APPLIED TO THE HEART

City University of New York PH.D. 1983

University
Microfilms
International 300 N. Zeeb Road, Ann Arbor, MI 48106

Copyright 1983

by

Reichbart, Richard Hugh

All Rights Reserved

PLEASE NOTE:

In all cases this material has been filmed in the best possible way from the available copy. Problems encountered with this document have been identified here with a check mark __✓__.

1. Glossy photographs or pages _____
2. Colored illustrations, paper or print _____
3. Photographs with dark background __✓__
4. Illustrations are poor copy __✓__
5. Pages with black marks, not original copy __✓__
6. Print shows through as there is text on both sides of page _____
7. Indistinct, broken or small print on several pages __✓__
8. Print exceeds margin requirements _____
9. Tightly bound copy with print lost in spine _____
10. Computer printout pages with indistinct print _____
11. Page(s) _____ lacking when material received, and not available from school or author.
12. Page(s) _____ seem to be missing in numbering only as text follows.
13. Two pages numbered _____. Text follows.
14. Curling and wrinkled pages _____
15. Other _____

University
Microfilms
International

HEART SYMBOLISM: AN INVESTIGATION INTO PSYCHOANALYTIC SYMBOLISM AS APPLIED TO THE HEART

by

RICHARD HUGH REICHBART

A dissertation submitted to the Graduate Faculty in Psychology in partial fulfillment of the requirements for the degree of Doctor of Philosophy, The City University of New York.

1983

©COPYRIGHT BY

RICHARD HUGH REICHBART

1983

This manuscript has been read and accepted for the Graduate Faculty in Psychology in satisfaction of the dissertation requirement for the degree of Doctor of Philosophy.

1/10/83
date

Gillian Vayer
Chairman of Examining Committee

date

Executive Officer

Lawrence S. Gould
William Kurtz
Supervisory Committee

The City University of New York

Abstract

HEART SYMBOLISM: AN INVESTIGATION INTO PSYCHOANALYTIC SYMBOLISM AS APPLIED TO THE HEART

by

RICHARD H. REICHBART

Adviser: Professor Gilbert Voyat

The author presents a study of the meaning of "symbol" in psychoanalytic theory and practice. He derives a definition of "symbol" from numerous theorists including Freud, E. Jones, Jung, Piaget and C. S. Hall, and analyzes how one confirms that X is a symbol of Y by examination of various contexts such as myth, etymology, childhood play, customs, slang, and psychotherapy case reports. He hypothesizes equations in which the heart acts as a symbol, including heart=penis, heart=glans penis, heart=vagina, heart=breast, heart=fetus, heart=seed, heart=sun and heart=bird. These heart symbolic equations are confirmed by examination of the attributes that the heart shares with each referent; of numerous contexts in which the heart appears including Aztec, ancient Egyptian, and Dionysian myth and rites; of heart-related contemporary customs and rites; and of psychoanalytic psychotherapy case reports. A chapter is devoted to the hypothesis that the stylized heart shape began as a symbol for breast and penis, and the shape is traced to

prehistoric cave art, to man's frequent use of the double crescent to depict horned animals, and to the "ivy leaf" attribute of Dionysus. Three psychoanalytic psychotherapy cases involving heart symbolism in which the author was therapist are reported: a 20 year old man with an initial complaint of test anxiety who had an overly sexualized relationship with his mother, in which a shared fantasy was that one would stab the other in the heart; a 21 year old man, with paranoid and psychotic symptoms, who experienced early trauma as a result of beatings by his father and his father's death; and an 11 year old girl, who suffered from nightmares, and whose heart shaped drawings suggested castration anxiety as a result of atypical sleeping arrangements at home and the death of both grandparents from heart attack. It is concluded that symbolism has three functions: defensive, communicative, and liberative. Numerous illustrations from prehistoric man's art to contemporary greeting cards appear as evidence.

Acknowledgments

This dissertation is the product of thoughts and events that occurred over many years, beginning prior to my entrance into the clinical psychology program at City University. In acknowledging the assistance I have received, I cannot possibly do justice to all the people who have helped or to the process itself. To begin with, I thank Dr. Arthur Arkin, who was Chairman of my committe, before he passed away unexpectedly in May, 1982, from a heart attack. Dr. Arkin, who actively encouraged me in my work from my first contact with him, helped to shape this dissertation prior to his death. I am very glad that, as was typical of him, he perservered, despite my initial resistance, in having me broaden my focus and my reading for the dissertation, and regret that he did not live to see the project to fruition.

After Dr. Arkin's death, I was most fortunate in having Dr. Gilbert Voyat take over the Chairmanship. He has exhibited such a rare combination of good will, intellectual curiousity, and courage that I count myself fortunate to have had the experience of him as a mentor. Dr. Voyat has always had that quality of treating another individual as an intellectual colleague as a matter of course, engaged in what I think he sees as a neverending tussle with "The Idea," a no-holds-barred struggle to which we are all committed despite ourselves and which we are never destined

to completely win because when one problem is solved another arises. He has been a delight and an inspiration; and I thank him "with all my heart."

I also wish to thank the two other members of my committee, Dr. William King, who joined the committee with the most gracious manner and concern after Dr. Arkin's death and has actively contributed since, and Dr. Larry Gould, who from the beginning has encouraged me to pursue a non-experimental dissertation of this sort if I chose and always expressed faith in my ability to do so. I think it is testimony to the kind of person Dr. Arkin was, to the kind of individuals these three professors are, and to the kind of clinical program that exists at City University, that this project continued to closure so quickly despite the sudden loss of the committee Chairman.

I wish to thank Dr. Patrick Johnson, a former Research Associate to Dr. Arkin, who was recommended to me as a supervisor in the "Robert" case by Dr. Arkin, and has functioned as one of the "outside readers" for this dissertation; he has helped me with insight and the most unequivocal support and concern at times when his other committments have been unusually heavy. And I am deeply grateful to Dr. Aaron Balasny, Director of Education and Intern Training at Nassau County Medical Center, and a former supervisor of mine, who has functioned as the other "outside reader" of this dissertation. For the internship year, he provided me with a program built upon engendering

confidence, self-r[illegible] [illegible]essionalism, and it is typical of the kind [illegible] he has exhibited that he joined this committee gla[illegible]e the onslaught of the yearly interview process.

A number of other scholars and professionals have been instrumental in this dissertation, including Dr. Robert Fiore, who supervised the child case; Dr. Jule Eisenbud, who gave me even if unknowingly the initial ideas for this dissertation as well as the intellectual foundation to pursue them; Dr. Alexander Marschack, who readily communicated with me despite my lack of sophistication in his field; Dr. Daniel Schneider, who encouraged me to continue with the project; Dr Jose Barchilon who taught me with enthusiasm and informed me of his excellent article; and Dr. Paul Wachtel, who was my initial supervisor in two of these cases. In particular, I thank Dr. William Greenstadt who helped me, not only as supervisor in the "Victor" case, but personally with an intuition and sensitivity for which I am deeply grateful.

Others to whom I owe a debt of gratitude: Barbara Saranik, who has done most of the typing and obtained the copyright permissions, and who has always exhibited a cheerful and determined attitude about the process; Stella Vaccarelli for her never failing help; Michael Brooks for the generous use of his office space; Victoria David for typing; and Meyer Gross for legal advice about copyrights.

My gratitude also to W.W. Norton & Company for permission to quote extensively from Piaget's Play, Dreams and Imitation in Childhood and to Leila Lerner and The Psychoanalytic Review for permission to quote at length from my 1981 article on "Heart Symbolism" published in the Review.

My family has always been supportive in the long ordeal of my changing professions from law to clinical psychology. My mother, Ruth Reichbart, has encouraged me through the dissertation process, and my father, Joseph Reichbart, has given without fail of his time and energy, as well as his excellent advice, to speed the project along.

I also feel the utmost gratitude to my daughter, Nicole, and my son, Soren, who have helped me by just being themselves when I returned from my intellectual labors; and who have substained in me a sense of perspective, as when Nicole has observed that "You will still be my daddy even when you are a doctor." Most especially, I thank my wife Paige Hooper Reichbart, who seven long years ago urged me to follow through on my dreams, and provided me (through the doubts, disappointments and frustrations) with the companionship to do so.

Richard Reichbart

January 10, 1982

P.S. And to Jiggers, for whom such concerns probably mean little, thank you.

Table of Contents

	Page
Chapter One: Introduction	1
The purpose of this dissertation	1
The format of this dissertation	4
Tentative definition of symbol	6
Symbol differentiated from sign	9
Symbol as conscious or subconscious	12
Symbol and individual development	14
How much of symbol formation is innate?	18
Tentative definition of a symbol	23
Chapter Two: Literature review	27
Introduction	27
Part 1: Philosophical definitions of symbol	29
de Saussure	30
Pierce	31
Cassirer	34
Morris	35
Langer	37
Part 2: Freud's symbolic theory	40
Part 3: Early psychoanalytic writings	49
Ferenczi	50
Abraham	52
Part 4: E. Jones and "The Theory of Symbolism"	55
Part 5: Jung's theory	64
Part 6: The genesis of symbolism	73
Piaget	75
Melanie Klein	90
Hanna Segal	92
Winnicott	94
Kubie and Niederland	96
Milner	96
Rodrigue	98
Rycroft	99
Part 7: Experimental studies	100
Silberer	102
Schroetter	104
Roffenstein	105
Nachmanson	106
Charles Fisher	107
Almansi	108
Part 8: Other contemporary approaches	110
Fromm	110
Calvin Hall	112
Thass-Thienemann	125
Conclusion	129
Chapter Three: How do I justify calling X a symbol of Y?	134
Appeal to various contexts	136
Introduction	136
Etymology	138

Page

Slang 140
Colloquial expression 141
Myth 142
Customs and rituals 145
Literature and art 147
Applied psychoanalysis: creators and their work 150
Children's expressions and actions 151
Other psychotherapy case studies 153
Experimental studies 154
Conclusion 155
Criteria for symbol determination in therapy 155
Introduction 155
Categories in the psychotherapeutic session 160
Patient provides interpretation 161
Therapist provides interpretation 163
Patient rejects interpretation 164
Patient accepts interpretation 165

Chapter Four: The heart as symbol 167
Introduction 167
Characteristics of the heart 169
Concepts adhering to the heart 171
Equations of the heart 174
Heart=penis equation 174
Heart=glans penis equation 187
Heart=vagina equation 194
Heart=breast equation (and heart=stomach, heart=mouth) 198
Heart=fetus equation 205
Heart=seed equation (and heart=plant, heart=greenstone) 211
Heart=bird equation 218
Heart=sun equation 222
Heart=hand relationship 224
Other equations: Heart=clock, heart=hour-glass, heart=small leaping animal, heart=vessel 226

Chapter Five: The configuration of the heart 230
Prehistoric depictions 232
Primitive depictions 233
As depicted in Ancient Egypt 235
As depicted in Aztec culture 238
Conclusions concerning depictions 241
Crescent in prehistoric and ancient art 242
Examples of shape from animal horns: Chaldean, Late Minoan, Mycenean Boetian, Assyrian, Gerzean 244
Examples from equatorial Africa 248
Dionysus and the "heart shape" 251
The ivy leaf 254

Page

History of the thyrsus 255
The pine cone 255
Evidence from contemporary culture 259

Chapter Six: Therapeutic interactions involving heart symbolism 263
Introduction 263
Case I: Robert 268
Introduction 268
Background and beginning treatment 272
Prelude to heart symbolism 284
Mother becomes focus: possible symbolism 296
Heart symbolism explicit 302
Heart symbolism interpreted 309
Conclusory revelations 316
Commentary 317
Case II: Victor 324
Introduction 324
History and beginning treatment 326
Prelude to symbolism: Letter "B" 335
Release of information 342
Heart symbol revealed 354
Crucial dream 361
Memory of father
Tying things together 368
Conclusion 373
Case III: Gwen 375
Introduction 375
History and presenting problems 378
Early sessions 380
Introduction to heart symbolism 391
Heart symbolism explicit 393
Heart symbolism abates 409
Consolidation of gains 425
Commentary 428

Chapter Seven: New data from psychotherapy cases 441
Heart as penis and sun 444
Heart as seed or small stone 447

Chapter Eight: Conclusion 455

Appendix 460

References 498

Autobiographical statement 507

LIST OF ILLUSTRATIONS AND DIAGRAMS IN TEXT

		Page
Diagrams		
Diagram of Robert case		323
Diagram of Victor case		374
Figures by child patient Gwen		
Fig. 37	Phallic horse and rider (copy of original)	434
Fig. 38	Trees and squirrel (from blackboard)	435
Fig. 39	Heart shaped girl (from blackboard)	436
Fig. 40	Upside down ice cream cone (from backboard)	437
Fig. 41	Two scenes through window (from blackboard)	438
Fig. 42	Heart shaped man (from blackboard)	439

LIST OF ILLUSTRATIONS IN APPENDIX

		Page
Figure 1:	The heart as depicted in American Indian drawings.	461
Figure 2:	The ancient Egyptian myth of psychostasia.	462
Figure 3:	A medieval Christian adaptation of the ancient Egyptian myth of psychostasia.	463
Figure 4:	Egyptian ibis in life and mummified.	464
Figure 5:	Aztec "cane" symbol for the heart.	465
Figure 6:	Coatlicue, Lady of the Serpent Skirt, Aztec mother goddess.	466
Figure 7:	American folk art "heart in hand" and "hand in heart"	467
Figure 8:	"Figure of a Demon" from the Cueva de los lettreros.	468
Figure 9:	Six foot high incised engravings of Bubalus.	469
Figure 10:	Heart-shape ornament from Chaldea seal.	470
Figure 11:	Late Minoan vase (1500 B.C.) with bulls' head, double axes, and heart shapes.	471
Figure 12:	Painting on a terracotta amphora, Boetia, 7th Century B.C.	472
Figure 13:	Vase design from Egypt, 400 B.C.	473
Figure 14:	Head of an ibex, ancient Near East, Bronze, 6th - 5th Century B.C.	474
Figure 15:	Stylized heart shaped Kwele mask, from Central Africa.	475
Figure 16a:	Line renditions of prehistoric beads in double breast image.	476
Figure 16b:	Photograph of paleolithic bead.	477
Figure 17:	A representation of Dionysus from 5th Century B.C. amphora.	478

		Page
Figure 18:	A dancing maened or woman worshiper of Dionysus	479
Figure 19:	A perron, and a pine cone emblem for city of Augsburg.	480
Figure 20:	An example of heart=pine cone motif in early American folk art.	481
Figure 21:	Diana of Ephesus, Rome, 200 A.D.	482
Figure 22:	A contemporary greeting card, heart= nipple.	483
Figure 23:	A contemporary greeting card, heart= vagina.	484
Figure 24:	A contemporary note card, heart=penis.	485
Figure 25:	A contemporary magazine advertisement, pine cone=breast=heart shape.	486
Figure 26:	A contemporary greeting card, heart= plant=glans penis.	487
Figure 27:	A contemporary greeting card, heart= seed=glans penis.	488
Figure 28:	A contemporary greeting card, heart= vagina.	489
Figure 29:	A contemporary greeting card.	490
Figure 30:	A contemporary greeting card.	491
Figure 31:	Child's drawings from Barchilon case.	492
Figure 32:	Lithograph by Jim Dine.	493
Figure 33:	A contemporary greeting card, heart=fruit (or leaf).	494
Figure 34:	A contemporary greeting card, heart= bird.	495
Figure 35:	Decorations on 17th Century New England gravestones, heart=mouth, heart=hour-glass, heart=bird.	496
Figure 36:	A contempory greeting card, heart= hour-glass motif.	497

CHAPTER ONE: INTRODUCTION

1) The Purpose of this Dissertation

In this dissertation, I will attempt to explore the psychoanalytic use of symbolism. In particular, I will try to show how a psychoanalytic thinker determines that X is a symbol of Y. To illustrate how this is done, I will use as subject matter the "heart" as it appears as a symbol. The symbolism which attaches to the heart is various, including such symbolic equations as heart=breast, heart=penis, heart=vagina, and heart=fetus, as well as secondary symbolic equations such as heart=bird, heart=sun, and heart=seed. In other words, in exploring the psychoanalytic use of symbolism, and how X is determined to be a symbol of Y, I hope to explore in its many manifestations how the object "heart" is used as a symbol of a variety of objects. In addition, I will present three clinical vignettes in which the heart as symbol appeared during therapy in which I acted as therapist. The thrust of this dissertation is toward the psychoanalytic use of symbolism in psychotherapy, of which these three instances are designed to serve as evidence.

How to go about presenting in its richness and complexity the subject matter of symbolism while explicating in a clear manner the underlying structure of that symbolism

has not proven to be an easy task. It appears to me that any writer drawn to this field has a tendency to oscillate toward one of two poles: either to become immersed in the proliferations, complexities, and byways of a symbol, fascinating as they can be, without overly much emphasis on methodology; or to spend so much effort polishing a methodological lens that no time remains to peer through it at the subject matter of symbolism itself. Either tendency is understandable, given the respective goals of the protagonists and the difficulty of the methodology. One of the hopes of this dissertation, however, has been to provide in one document both methodology and substance.

As will become clear, one of the difficulties that arises in talking about a psychoanalytic symbol, and determining that X is a symbol of Y in a particular situation, is that the process of making a symbolic interpretation is a dynamic one. It is a process of developing an hypothesis, checking that hypothesis out by applying it to various data, and refining the hypothesis, or extending it, based upon the results of the application to the data. Throughout there is a constant back and forth which the psychoanalytic thinker ideally makes in his mind, in which various data are compared, various results questioned, and so on, so that it does not resemble a straight line of proof. Thrown into the process also will be many related symbolic equations or psychoanalytic concepts which are also, by their nature, hypotheses.

Further, the process itself involves an appeal to many different contexts, such as other therapeutic case studies, mythology, literature, children's play, art, and etymology, in which the symbol ostensibly appears. This appeal to various contexts has many rationales: There is perhaps the most obvious one which is quantity. The more instances in which the symbolic hypothesis that X equals Y can be discovered, the greater the evidence for the hypothesis. There is the rationale of exploring dynamics, to which I have already alluded: By examining other contexts, the dynamics of the equation may be further explained or modified. There is the rationale of finding organizing principles in the cultural sense: Each individual, consciously or subconsciously, learns symbolic meanings, variations, and emphasis from his culture's use of a symbol, and thus one examines cultural manifestations of the symbol, from slang to ritual, as evidence of the cultural configurations. In addition, there is the issue of history: Symbols which may be unconsciously related to their objects may have been consciously related, in the sense of being manifest to individuals within the culture, in the past. Often, too, characteristics of symbols exhibit variation and change over time which account for their present form. Lastly, there is the rationale of the quality of the explanations which result from applying a particular symbolic hypothesis, what I would refer to as the

explanatory power of the symbol. To me this is one of the most compelling aspects of psychoanalytic symbolism.

The application of a symbolic hypothesis to a particular instance in which the symbol ostensibly appears is a two fold process. On the one hand, when the symbolic hypothesis bears fruit, by virtue of its explanatory power, it provides additional evidence for the existence of the symbol. On the other hand, each symbolic application also provides new data, to a greater or lesser degree, on the nature of the symbol itself. The issue of what constitutes "bearing fruit" is a crucial one, particularly within the therapeutic setting.

2) The Format of this Dissertation

At this point, I do not mean to go into any depth concerning these issues, other than to present them as introductory material. I do hope that by doing so I have succeeded in suggesting that psychoanalytic symbolism will not yield to the one-to-one correspondence that we associate with a mathematical proof that X is a sign of Y. In addition, I introduce these issues now so that the reader will be prepared for the design of this dissertation, in which I attempt to combine both methodology and substance of psychoanalytic symbolism. The format which I have settled upon is perhaps best explained by my summarizing for the reader what he will find in the body of the dissertation.

In the second chapter, I will review the literature on the manner in which psychoanalytic thinkers determine that X

is a symbol of Y. Of necessity, this review will include a discussion of the various definitions of a symbol used by psychoanaltyic and philosophical theorists.

In the third chapter, I will discuss my own views on how a psychoanalytic thinker justifies the application of a hypothesis that X equals Y, with a focus upon such a determination being made in the course of psychotherapeutic treatment.

In the fourth chapter, I will introduce the subject of heart symbolism, and by applying the principles discussed in chapter three, I will discuss a variety of equations concerning the heart as a symbol.

In the fifth chapter, I will offer an extended hypothesis of the origin of the stylized shape that is a sign of the heart in our culture, and also a symbol of the concept "love." In effect, in this chapter, I will be applying the equations discussed in the previous chapter to the solution of a particular cultural mystery involving the heart. This type of undertaking is sometimes referred to as "applied psychoanalysis" to differentiate it from clinical psychoanalysis. It should be noted that the stylized heart shape appears as a symbol in all three clinical cases, so that its deciphering as a symbol designedly precedes the discussion of the cases.

In the sixth and focal chapter, I will present three clinical vignettes in which the heart appears ostensibly as a symbol in the course of child or adult psychotherapy.

These vignettes are presented both as evidence and as new data concerning the nature of heart symbolism.

In the seventh chapter, I will discuss some of the issues raised by these vignettes. The eighth, and final chapter, contains conclusory remarks plus suggestions for the type of studies which would confirm the findings of this dissertation.

Illustrations are used in the dissertation. In Chapter Five, dealing with the origin of the stylized heart shape, they serve to graphically present the data; and in Chapter Six, they represent the drawings of the child patient.

3) Tentative Definition of a Symbol

Before continuing further, it will be necessary for me to define what I mean when I use the word "symbol" in this dissertation. This might appear, at first blush, a straightforward task -- in which I turn to the appropriate page in a serviceable dictionary. Unfortunately, it is not so simple. Various fields such as linquistics, philosophy, anthropology, psychology, literature and art claim the word "symbol" as their own, and use the word to denote different phenomenon. Further, definitions of a symbol, within each field, are almost as numerous as writers on symbolism and are frequently the subject of continuing controversy. Philosophers by nature more all embracing than other theorists have had no more success, and perhaps a little less, in delimiting the concept of a symbol. Almost

universally, they have contended that there are different types of symbols. Charles Pierce, the American philosopher, stated at one point that "The word Symbol has so many meanings that it would be an injury to the language to add a new one" (Pierce, Vol. II, para. 297). This desire for economy did not apparently extend to Pierce's own work in developing a general theory of signs, of which a symbol is one example in his usage. Pierce had no less than 66 different categories of signs in a kind of compulsive nightmare. An excellent encyclopedic discussion of various types of representation lists thirteen types as they occur in speech, involving such terms as sign, indication, symbol, representation, signal, denotation, and meaning, but when the subject of dream symbol comes up, the philosopher can only state that it is "something else again" (Alston, 1978).

Psychoanalytic thinkers, not exactly known for their ability to agree upon theoretical matters, have proven no exception to the rule. Even when using the term "symbol" to denote the same phenomenon, they tend to coin their own usages to define and describe the phenomenon. More importantly, the definition of a symbol is not isolated from the psychological theory; instead it is intrinsic to it. Perhaps no more obvious example could be cited than the "classical Freudian" definition of a symbol, as espoused by Ernest Jones, and the Jungian definition. Put somewhat differently, the definition does not proceed the data; rather it arises from the data or, better, is formed by the

data. Traditionally, when the definition is presented to the reader, it is presented initially; but it should be recognized that this is after the fact, that is after the theorist has grappled with the phenomenon, had his initial hypotheses changed by the phenomenon, hewn and revised them -- and his defintion of a symbol -- until the definition and the theory of which it is part explain the phenomenon to his satisfaction. Thus, when I provide the reader, at the beginning of my dissertation, with a definition of a symbol it is only because, in some way, I have come to a conclusion based on testing numerous hypotheses against the phenomenon in the process of thinking and working on the problem.

In addition, to understand the significance of the definition, which has contained within it the entire argument of the dissertation in abbreviated form, it is necessary to provide some context, specifically how other theorists have defined "symbol." Fully done, this would be a herculean task. Further, it would run the risk, even on a minor scale, of detracting from the argument of this work. What I have elected to do instead, is to discuss four issues which seem to me most crucial in arriving at a definition of a symbol, and which are frequently a source of contention. Then after doing so, I present my tentative definition of a symbol. In the literature review, of the second chapter, the reader will be able to see, in greater detail, how theorists differ on these issues.

A) First Issue: Symbol differentiated from "sign" and "metaphor"

The first issue that all theorists grapple with, and which occupies much of the work of philosophers in particular, is how does one differentiate between a symbol and other types of representation, particularly a "sign." In general usage, the word "symbol" has become almost ubiquitous and is used to denote a sign without regard to any fineness of distinction. But the two concepts are essentially different. A sign has two general meanings: The first is that it is an arbitrary word or event used to designate an object or event. For example, when one arbitrarily decides to represent the United States by a flag with red and white stripes, and white stars on a blue ground, that flag becomes a sign of the United States of America. Another classic example of a sign would be an algebraic notation, in which a number is arbitrarily represented by the term "X." There are, in fact, various kinds of signs -- in the nature of "icons," "emblems," and so forth -- their number dependent on which theorist one follows; but since the primary focus of this dissertation is the "symbol," and my point here is to differentiate between the general term of the "sign" and the "symbol," I am leaving out of the discussion these distinctions. The arbitrary sign is sometimes referred to as an artificial sign.

The other basic type of sign is sometimes called a natural sign. It occurs when an event appears to be causally related to another event. That is, lightning is a sign that there will soon be thunder; or the wind suddenly blowing in the trees, is a sign that it will soon rain. I said, "appears to be causally related," because the sign really lies within the consciousness of the observer, who may not accurately comprehend the actual causality. Nevertheless, neither of these concepts, the arbitrary or natural sign, denotes a symbol.

A symbol is not arbitrary, nor does it have the appearance of causality. A symbol is the consequence of the establishment of a dialectic relationship between two terms, in which there is something in common about the terms. In this sense, the relationship is a "determined" one. Thus, a knife can be a symbol for a penis, because the two terms share some common characteristics: they penetrate the body, they are long, they are -- at least at some times -- rigid. Note however that I said "can be." The nature of a symbol is that nothing is fixed about the relationship, in terms of establishing a one-to-one correspondence in the manner in which an arbitrary sign, for example, is fixed; and a natural sign, whereas subject to other correspondences, is more or less fixed by its fixed environment. Instead, a symbol is entirely dependent upon its context, which is changeable. At other times, for example, a knife may stand for itself, or may conceivably act as a symbol for something

else; just as a penis may be symbolized by some other object. There is an apparent limit to how an object that functions as a symbol may be used, which is determined by its natural configuration; thus a knife cannot be a symbol for the vagina, because it does not have enough in common with a vagina. In addition, the relationship between a symbol and its referent is invariably multidetermined, that is more than one aspect of the referent, or concept that adheres to the referent, establishes the relationship between symbol and referent. Further, it should be noted that it is in the nature of the relationship between symbol and referent, that the symbol emphasizes only certain aspects of the referent, and does so in a way that exaggerates those aspects to the exclusion of others. Thus, a knife emphasizes the aggressive, penetrating aspect of the penis, because this is the aspect of the knife that is in common with the penis, and because the nature of the knife as an object is aggressive; in doing so, it ignores other aspects of the penis, such as the resurrective concepts that adhere to the penis by virtue of its capacity to be erect one moment, flaccid the next, only to become erect again; or the creative aspects of the penis. None of the attributes of a symbol -- dialectic relationship, multidetermination and so forth -- apply to a sign.

A person might note that some arbitrary signs may act as symbols. In fact, at a fundamental level, every sign has been determined by a psychodynamic process which is not

manifest, so that it is impossible to be entirely arbitrary. For example, a flag may stand as a sign for a country, but the very concept of a flag -- the use of a tall flagpole upon which cloth is placed on the most extreme point -- conceivably may be a symbol for the penis. In fact, the use of a flag on a flagpole may have arisen because of its symbolic meaning. Words themselves have arbitrary aspects to them, or else all language would be alike, and in this sense words are socially agreed upon signs. But in addition, words are not entirely arbitrary; as their genesis usually reveals, they are symbolically determined in the past. Perhaps one may make the distinction that they are arbitrary when learned, but that they have inherent symbolic meaning nonetheless.

B) Second Issue: Is a symbol a conscious or subconscious phenomenon?

The issue of whether a symbol is a conscious or unconscious phenomenon has been a point of contention among psychoanalytic thinkers particularly in recent years. It probably began when Ernest Jones, as we shall see, defined a "true symbol" in Freudian terms as an unconscious phenomenon. By conscious and unconscious, what I mean is that the type of phenomenon is determined by whether the person who enunciates the symbol is aware of the referent. Thus, when in slang, someone refers to the vagina as a "pussy," there seems to be consciousness that the symbol, a cat, refers to the object, a vagina, and probably

consciousness of the aspects of the two which establish the symbol, such as the hairiness of the cat, and the pubic hair surrounding the vagina. But there would be those who would contend that "pussy" is not a symbol under these circumstances because the speaker is aware of both symbol and referent. On the other hand, such thinkers would maintain that in a dream in which the same man dreams that he softly strokes a cat, the cat is a symbol of the vagina, because, at least at the time of dreaming, the dreamer has no consciousness of the referent.

I have elected to simply make a distinction between a conscious symbol and an unconscious symbol, rather than reading a conscious symbol out of the definition. My sense is that symbols are really on a continuum between conscious and unconscious. Thus, at one moment, a symbol may be entirely unconscious for an individual, but at the next he may become conscious of the symbol, or even use it consciously. The difference in the degrees of consciousness of the referent, and in the affect that accompanies a subsequent interpretation of the referent to the individual (who is more resistant the more unconscious the referent) appear to me better thought of as differences in kind of symbol, rather than differences in concept. It appears artificial to insist upon a separate definition for each type. In this, I am following such thinkers as Piaget and Hall, whose works are discussed in more detail in the literature review.

In all of this, it should be made clear that one cannot consciously create a symbol; the impetus for symbol formation well ups from the subconscious, so that even a conscious symbol has its origin in the force of an unconscious dialectic. Nobody sits down and says, now I will determine in what way a penis is like some other object, so that I might create a conscious symbol; rather a spontaneous dialectic is established, and subsequently, individuals, such as psychologists, who "dissect" symbols, may make the determinants conscious. But this is after the fact, so to speak; that is, after the symbol has already been established.

In addition, it should be recognized that the world of unconscious symbols is a wider one than that of conscious symbols. A portion of the unconscious symbols has the property of being generally conscious within a population of individuals; but others seem less susceptible to conscious use within a particular culture. For example, the sun as a symbol for the phallus, is much less likely to become a conscious symbol in our culture than the knife as a symbol for the phallus. Put differently, there are few slang expressions that fasten upon the aspects of the sun and phallus which are in common; rather they fasten upon the aggressive aspects of the phallus, and knife readily embodies those aspects.

C) Third Issue: The relationship between symbol and individual development.

One of the critical issues in symbolism is when and how symbols first form in a child's development. The subject matter is too broad to pursue in this dissertation to any great extent, nor is the issue really broached in the clinical examples presented later on, as the youngest patient is eleven, and the psychopathology of the cases is not as severe as either schizophrenia or autism, in which severe breakdowns of the symbolic process take place, permitting the observer to look more closely at the wellsprings of symbolism. Nonetheless, in general outline, it is important at least to clarify some of the issues that arise in this area.

The first and foremost issue is: When does symbolism first take place in a child's development? In studies of this subject, one of the problems appears to be that of definition. In a sense, every sign invokes a process which is exceedingly complex -- where arbitrary sounds, gestures, actions represent an event, object or concept. To arrive at the perfectability of a sign, the child must make a number of major philosophical jumps -- he must establish the constancy of the referent, of the sign, and of the relationship. Further, he must be able to invoke concepts of particularlization and generalization: the particular object must be extracted from its context, and its salient features, that is the features that permit it to be generalized, must be recognized because in each new instance the object is not going to be exactly the same as

in the previous instance. Back a step further, it should be noted that even instinctual action on the part of the organism, reguires that it have the ability, even if such ability is innate, to differentiate figure from ground.

The difficulties that have arisen in psychoanalytic theory are a product of the fact that psychoanalysts, at least in the beginning of their science, tended to ignore the problems just discussed, and assumed that "symbols" for the infant, such as the breast as a symbol for the mother, were conceptually analogous to symbols that formed later on in development. This early psychoanalytic view, insofar as it was assumed, seems to me insupportable. On the other hand, that does not mean that the representational force that takes place in childhood does not ultimately convert the breast, for example, into a symbol. Even Piaget was willing to acknowledge that the innate sucking reflex, directed toward the breast, must in normal development ultimately produce some type of representation in which the breast stands for the mother. I might add that it is not only the innate sucking reflex, but the innate reaction to the softness and warmth of the breast, to the sound of the mother's voice that occurs in constant juxtaposition to being held to the breast, to the mother's smile at the appropriate point in development when the infant is held to the breast, and to a whole panoply of stimuli that become associated to the breast by virtue of a juxtaposition in time and space. This association of visual and sensory

stimulus, fueled by innate reactions, can result in a variety of "symbolic" equations (I am using the term advisedly at this point) such as the face-breast equation in which the infant, as he sucks at the breast, observes the mother's face and comes to associate the two elements and ultimately uses the face as a symbol for the breast; or the hand-breast equation, based on the association of the hand both as something that substitutes for the breast, in sucking, and something that holds to the breast. Now when psychoanalytic thinkers speak of these equations, they tend to assume that for the infant the hand-breast or hand-face equation is the same as it subsequently appears for the older patient. On the contrary, I think that for the infant the two objects are associated, melded, but not yet symbols. The process of an object becoming a symbol has its origin here -- it does not begin out of nowhere, rather it appears to take its material from the early development. Put differently, psychoanalytic thinkers in a sense acknowledge this associative identification as a wellspring of the ultimate symbol, when they state that a symbol develops out of the fact that at some point, symbol and referent were considered one to the consciousness.

Regardless, I bring this up as an issue, because it addresses iself to the definition of a symbol. Freud was aways careful to state that we do not yet know how to differentiate a symbol from other forms of representation, at least by examination of the intrapsychic process, for the

symbolic process was not dissimilar to other representational processes, such as that of substitution of one element for another in dreams. In this sense, the symbol may in the subconscious simply reflect its origin in infant and early childhood consciousness, in which the association of two elements was paramount. Only when the ego begins to form, does the distinction between symbol and other associative process truly take place.

D) Fourth Issue: How much of symbol formation is innate?

Although theorists, as we have seen, may differ as to when symbolism takes place in child development, all theorists assume that symbol formation is an innate human function, one which distinguishes man in part from other organisms. The question is what aspect of symbol formation is innate, and what is determined by other factors, most particularly the culture within which an individual resides. Freud was careful, although his followers were less so, to specify that even if repression were not a factor, dreams would utilize symbols because the subconscious mind could only express abstract thought through the use of concrete terms. Freud referred to this as the "ancient language" of the unconscious.

Jung went a step further, and claimed that there was an innate capacity of each human being to create certain specific patterns of symbolization (Jung's definition of a symbol is somewhat different from Freud's), rather than only to symbolize in general; and further that, in some way, the

particular capacities, that is the archetypes, were genetically modified by the historical experience of all men through time. The first part of this proposition has gained considerably more acceptance than the second which suffers from a vagueness of formulation. In this dissertation, I accept the first part, but leave out the second. I should add that this is not entirely because I am out of sympathy with the attempt to formulate a theory to account for the interrelatedness of man's thoughts that goes beyond the transfer of information through the senses (which Jung's theory appears to represent), but that I am uncomfortable with the vagueness of the forumulation of a universal unconscious.

Regardless, the next issue is how much does culture influence the process of repression which creates the other driving force for symbolism, according to Freud? Put differently, will one find the same use of sexual symbols in a culture in which sexual activity and sexual parts are more openly displayed? To my way of thinking, the answer is that every individual, in every culture, will have the same innate repressive capacities; or put differently, that repression, to a greater or lesser degree, is a necessity of human functioning because the same referents will always be affectually loaded . Not only is the "ancient language" innate, but repression is innate -- one might say by virtue of the dependent relationship which the human infant has initially to the mother figure and his subsequent

relationships to loved objects. Cultures always present culturally idiosyncratic elaborations of the symbols, but both the referents and concepts remain the same. That is, in one culture, a bow and arrow may represent the phallus; in another, more sophisticated one, a gun may also be a phallic symbol. But the referent, phallus, is the same, and the concept connecting the referent to the symbol is essentially the same (the aggressiveness of phallus and weapon). The culture may create certain emphases, certain societally approved ways to deal with conflicts, which make it more likely that certain referents, and certain interactions, are subject to repression; and thus that certain symbols are favored. But the ingredients are the same. I am not saying that the study of the emphases is insignificant; indeed, I have contended elsewhere that it is very significant to understanding both the culture and its effect upon the individuals in it. (I contended that one could correlate the type of heart symbolism in different countries with the "time urgency" characteristics of Type A individuals, thus explaining why certain societies have inexplicably high or low rates of heart related disease [Reichbart, 1981].) Similarly, certain cultures may favor "acting out" the symbolism, that is melding symbol and referent (as in Aztec culture where the heart is taken out of the human body, in a symbolic act). But this type of melding is not quite the same thing as what happens in autism in which the conceptual capacity is interfered with;

it is a little closer perhaps to psychosis in which a symbolic capacity exists, and the repression has been "magically" sidestepped, by extreme denial.

Many writers on symbolism, including Freud, have attempted to define the referents to which symbols apply. Insofar as such an attempt lends itself to becoming "law" I feel it is misguided, simply because we do not yet understand enough about the symbolic process. In effect, Freud tried to determine "primary" symbols -- symbols that refer to the referents that are deepest, below any intermediary referents that might appear. Affectual loading for these referents do seem greatest and the human body does appear to be the major source of symbolization, but, although I suggest these as universal referents, my intention is not that this become an essential "law" to symbolism.

In all of this, it should be noted, that I am adopting as a definition of a symbol the fact that it must, by its nature, be a shared entity. There is no such thing as an entirely idiosyncratic symbol, and part of the process of determining whether X is a symbol of Y (that is determining the existence of a dialectic relationship between X and Y) is to confirm that the relationship exists in more than one instance. This is simply another way of saying that symbol formation is not arbitrary, it is not unigue to one individual. One may never be able to find the exact same object as a symbol (let us say, for example, that I alone

have knowledge of a weapon with unigue characteristics so that no one else could possibly use this weapon as a symbol) but the generic class of objects to which the symbol belongs has to be a shared one. (The generic class, based upon the linking concept, may at times be difficult to determine, of course.) New inventions, such as the telephone, invariably become symbolic objects, but the referents and concepts remain the same; further, the process of proving the hypothesis that the telephone is a symbol for a referent reguires that more than one instance be located. One may hypothesize that the telephone is a symbol, based on only one instance; but to show this to be true, it is necessary to find more than one instance. Were this not true, one could create symbol without subconscious participation, by the logic of the connections between symbol and referent; and this would be denying the meaning of our word symbol. We may expect that an entire variety of new objects in the electronic field, such as the word processor on which this dissertation is typed, will provide a new vocabulary of symbols; but the concepts will remain the same as will the referents, and the symbols will be shared ones.

My last point on the subject of the innateness of the symbolic function focuses on the breakdown of the symbolic process, or on autism. If the symbolic capacity can be so severely interfered that it cannot take hold, its innateness must reguire certain preconditions for it to manifest itself. This of course suggests a completely

different kind of study, in itself, than the one offered here. Suffice it to say that the symbolic capacity is innate in the sense of a drive toward symbolism; but that drive apparently must encounter certain conditions at certain times in development to become manifest. What exactly happens to that drive, when these conditions are not encountered -- where the energy goes, is an intriguing question, but one for a place other than here.

Having completed a discussion of the most prominent issues in arriving at a definition of a symbol in the psychoanalytic sense, I now offer the following tentative definition which will apply to this dissertation.

1) A symbol is the representation of one object by another in which the first object has characteristics more interesting, more complicated, and more affectually loaded to the conscious mind of the participant.

2) By its very nature, a symbol emphasizes one or more characteristics of its object to the exclusion of others, so that although we commonly speak of X as a symbol of Y, what determines the relationship is that X shares certain characteristics with Y.

3)By its nature, a symbol usually shares more than one characteristic with its object, that is a symbol is multidetermined.

4) The object used as a symbol occupies no fixed relationship to its referent. Thus, it can under other circumstances stand for itself or act as a symbol for another object. Thus, a symbol is determined by its context, rather than fixed in space or time.

5) Because a symbol invokes a concept of its referent, it is different from a sign which is either arbitrary or related to the referent by virtue of juxtaposition in time and the appearance of cause and effect.

6) A symbol involves four parts: object, concept, participant's consciousness, and referent. The consciousness of the participant at the time of the symbolization determines whether the symbol is conscious or unconscious.

7) A conscious symbol signifies that the participant has awareness of the referent, and that the referent is not so affectually loaded that it is repressed at the time of the symbolic formation.

8) An unconscious symbol signifies that the participant has no awareness of the referent at the time of the symbolization. Affectually such objects are extremely loaded for the participant at that time. However, an

unconscious symbol may subsequently, under different circumstances, be conscious for the same participant.

9)The extent of affectual loading depends in part upon the cultural effect on the individual.

10) However, the objects most affectually loaded are universal. They involve various aspects of the human body, and concepts that adhere to them, particularly life, death, and resurrection. They also involve relationships to loved objects: mother, father, siblings, or their substitutes.

11) The fact that these objects and the concepts that adhere to them are universal indicates that there is an inherent tendency to have these objects symbolized because of their affectual power. Similarly, the interactions to which these objects are subject, also are inherently symbolized; in other words the Jungian concept of archetypes applies insofar only as this definition.

12) In addition, it is impossible for the subconscious mind to express itself in any other way than by concrete images to represent abstract concepts. Thus, on a fundamental level, symbolization occurs without repression.

These twelve elements comprise the tentative definition

of a symbol which I use in this dissertation. At the end of my presentation of the clinical vignettes, I will elaborate upon this definition in light of the data. In the next chapter, the literature review, the reader will become aware of a wealth of material, in which various theorists use different definitions than mine. I hope that he will get a sense of the vastness of symbolic studies as well as the choices I have made in arriving at my tentative definition.

CHAPTER TWO: LITERATURE REVIEW

> It is doubtful if signs have ever been so vigorously studied by so many persons and from so many points of view.
>
> C. W. Morris

Introduction

In this chapter, I propose to review the literature on two interrelated questions: What is the definition of a symbol? And how does one determine whether X is a symbol of Y? These questions could be separated from each other if there were some universal agreement about the definition of a symbol, but none exists; in fact, as will become apparent, each theorist has a somewhat different definition of a symbol.

Presenting this literature review so that it will be clearly related to the substance of this dissertation has presented problems in format. The difficulty comes from the fact that, as already indicated, "symbol" has such different meanings, and that the focus of writers on symbolism is often very different. Some are concerned with the development of symbolization in the child; some with the psychotherapeutic use of symbolism; some with symbolism and language; some with dreams and symbolism; and so on . . . and often it is impossible to subsume the different meanings assigned to the word "symbol" and the different approaches under the same dynamic concept. On the other hand, it seems

to me that this is part of the data concerning the psychological study of symbolism, to which the reader should, at the very least, be exposed. In effect, then, I have seen it as my job to present to the reader various views of symbolism so that he might become familiar with the "lay of the land" so to speak. I then have made an effort to delimit exactly what part of the territory I will attempt to cover in this dissertation.

The reader will note that I have not yet made any reference to symbolism concerning the "heart." My purpose in this chapter is to give a general view of symbolism, and only later to concentrate upon a specific incidence of symbolism in which the heart is the symbol. Thus, in this chapter no reference will be made to the heart as a symbol. Lastly, I should note that my choice of theorists to summarize is based on my own sense of those theorists who have been most influential in psychoanalytic discussions of symbolism or appear most pertinent. I have left out innumerable theorists who have made interesting points, which were not, however, as relevant to my work or as global as those I have chosen to include. I have no hope of satisfying everybody, for invariably the sophisticated reader will have in mind a particular theorist, who has said something meaningful, and whom I have not included. But I cannot within the confines of this dissertation pretend to be exhaustive. Indeed, a full review of the literature on symbolism would occupy a lifetime.

Part 1) Philosophical Definitions of Symbol

The logical place to begin with the literature review is with the views of some of the more prominent philosophical theorists that are pertinent to psychology. Philosophers have influenced the psychologists, who often take their definitions as jumping off points for psychological definitions of symbols, but as should become painfully apparent from this review, philosophers generally make no particular obeissance to the psychoanalytic concepts of symbolism. They tend to "have other fish to fry" and are concerned either with broader issues than the psychologist or with linquistics.

What also should become apparent from this review is that terms and definitions are a "mare's nest" for the philosophers, each one using different terms or--to make matters worse--the same terms differently. Thus, one thinker will use the term "symbol" and "referent," whereas another will prefer "signifier" and "signified;" and some philosophers will subsume "symbol" under their definition of "sign" while others will oppose the two terms. It will become obvious, however, that philosophers share this lack of unanimity concerning definitions with the psychologists.

The philosophers whose work has seemed to me most important to summarise are: Pierce, de Saussure, Cassirer, Morris, and Langer. All of these philosophers have been influential. Only Langer, however, directs especial attention to the psychoanalytic concept of symbols.

Nevertheless, any writer on symbolism -- in framing his definitions -- has taken note of the thinking of at least one of these philosophers.

A) De Saussure

De Saussure was a contemporary Swiss linquist who approached the subject of symbolism from the perspective of language. His work, compiled posthumously from the notes of students at his lectures, is notable for its succinctness and clarity.

De Saussure's definition of "sign" and "symbol" reflect his interest in language. He contends that a sign does not unite a name and a thing; rather it unites a concept and a sound-image. These two elements, concept and sound-image, are so intimately united that each "recalls the other." This combination de Saussure calls a sign. The concept is the "signified"; and the sound-image the "signifier".

Characteristics of the sign, according to de Saussure, are:

1) The bond between the signifier and the signified is arbitrary; there is no inner relationship between the sounds that signify a concept, and the signified. De Saussure dismisses the idea that onomatopoeia or interjections account for the sound of many signifiers, on the ground that languages almost invariably use different sounds (even when they are supposedly onomatopoetic) so that the arbitrary nature of the signifiers remains.

2) "Arbitrary" does not mean that the choice for the signifier is left entirely to the speaker; in fact, the individual does not have the power to change a sign. By definition, a sign is determined by the linquistic community.

In de Saussure's system, the symbol is also composed of a signifier and a signified. However, in contrast to a sign, a symbol "is never wholly arbitrary; it is not empty, for there is the rudiment of a natural bond between the signifier and the signified. The symbol of justice, a pair of scales, could not be replaced by just any other symbol, such as a chariot" (1966, p.).

The most important aspects of de Saussure's system for psychoanalytic thinkers have been the definition, including the particular terms he uses, and the emphasis upon the "natural bond" that exists in symbol formation. It should be noted, however, that in common with many of the philosophers, de Saussure's definitional focus on symbolic language seems to omit symbolic play or symbolic events.

B) Pierce

Charles Pierce, the American philosopher who wrote in the latter part of the nineteenth century and beginning of the twentieth, created definitions of sign and symbol which have influenced all subsequent writers. His system made so many distinctions, however, that the proliferation of subcategories became almost uncontrollable. In general, followers of Pierce have been content to focus upon the

broader definitions he makes. Pierce used the term sign somewhat differently than de Saussure. For Pierce, sign is the all-inclusive term, of which symbol is one part of a "trichotomy." Specifically a sign or "representamen" is defined by Pierce (1965) as:

> . . .something (which) stands to somebody for something in some respect or capacity. It . . . creates in the mind of that person an equivalent sign . . . .That sign which it creates, I call the interpretant of first sign. The sign stands for something, its object. It stands for that object not in all respects, but in a reference to a sort of idea . . . the ground of the representamen (page 135; para 228; emphasis in text).

The "ground" is the closest Pierce comes to invoking the idea of a "concept" linking symbol and referent; unfortunately, he rarely mentions it in his subsequent definitions.

The three types of signs are an icon, an index, and a symbol. In order to understand the definition of a symbol, it is helpful to summarize the other definitions.

1) An icon is a sign which refers to an object that it denotes "merely by virtue of characters of its [the object's] own . . . . Anything whatever, be it quality, existent individual, or law is an Icon of anything, in so far as it is like that thing and used as a sign of it" (1965, p.143; para. 247).

2) An index refers to the object that it denotes by virtue of "really being affected by that Object" (1965, p.143; para 248). Thus an index cannot be a quality of the object per se; although it may have some quality in

common with the object. Its distinguishing feature is that it actually modifies the object.

3) A symbol refers to the object that it denotes "by virtue of a law, usually an association of general ideas, which operates to cause the symbol to be interpreted as referring to that object" (1965, p.143; para 249).

Pierce elaborates upon these general definitions, and I have chosen some of his elaborations and examples which appear most graphic, and were most helpful to me in trying to understand the distinctions he is making. According to Pierce, an index may be distinguished from other signs by the fact that it has no specific resemblance to the object; it refers to individual, that is single, units; and it directs attention to the object by "blind compulsion." Thus, what we call mathematical "symbols" are really indices.

Examples of icons include diagrams (which resemble their objects in respect to the relations of their parts), pictures, algebraic equations, photographs, hieroglyphics, and even certain aspects of language, such as syntax.

Symbols include "any ordinary word" such as "give," "bird," "marriage" (which is in contradistinction to de Saussure's definition in which these words would be "signs"). A symbol, however, does not indicate any particular thing, it denotes a "kind of thing" (1965, p.169; para 301).

Pierce succeeded in his work in breaking new ground so that subsequent philosophers were compelled to make distinctions based on or in opposition to his original categories. What he failed to do was to capture the less tangible aspects of symbol formation.

C) Cassirer

Ernst Cassirer, the twentieth century philosopher, who wrote his magnum opus, The Philosopy of Symbolic Forms in 1929 did focus on some of the aspects of symbols that Pierce neglected. Cassirer defined man as the symbolic animal, and this emphasis on symbolism had a pronounced influence on contemporary philosophy.

Cassirer also distinguishes between signs (or signals) and symbols. He compares a signal to the dinner bell used by Pavlov with animals. "The signal is, in fact, removed from human thought, it is simply an event concerning which an organism has learned a conditioned response." In contrast, of symbols, Cassirer says:

> Symbols -- in the proper sense of this term -- cannot be reduced to mere signals. Signals and symbols belong to two different universes of discourse: a signal is a part of the human world of meaning. Signals are "operators"; symbols are "designators." Signals, even when understood and used as such, have nevertheless a sort of physical or substantial being; symbols have only a functional value (1944, p. 36).

Just as Pierce remarks that a symbol denotes a "kind of thing" rather than a particular thing, Cassirer states that an essential feature of a symbol is its universal applicability. For example, the symbol for water, the word, does not apply to just this cup of water, or that river of

water, but to the concept of water in general. Another characteristic of a symbol is that it is variable; the same meaning can be expressed in various languages, such as aqua for water in Spanish. However, a sign or signal is "related to the thing which it refers in a fixed and unique way" (1944, p.36). Put differently, a "genuine human symbol is characterized . . . by its versatility. It is not rigid or inflexible but mobile" (1944, p.36). Thus, in effect, symbols make possible relational thought or abstract thought. They contain the idea of an object, or an idea pertaining to an object, rather than referring to the concrete object itself, as does a signal. Concludes Cassirer: "And for symbolic thought it is indispensable to make a sharp distinction between real and possible, between actual and ideal things. A symbol has no actual existence as part of the physical world; it has 'meaning'" (1944, p.57).

Cassirer observes that in primitive thought this definition does not hold because the distinction between real and possible, does not exist as clearly. In primitive cultures, "a symbol is looked upon as if it were endowed with magical or physical powers" (1944, p. 57).

Cassirer's writing about the symbol has been important because of the extent to which he stressed the "conceptual" aspects of the symbol. This emphasis subsequently had a great influence on the work of Susanne Langer, as shall be apparent from her system described below.

D) Charles Morris

Charles Morris, the American philosopher, in 1938 wrote a monograph entitled the "Foundation of the Theory of Signs" which provides still another definition of symbol and of the components involved in its formation. Like Pierce, Morris considers the symbol as one subcategory of sign--the other two being, the index and the icon. Signs in general are comprised of three or four components: the sign vehicle, the designatum, and the interpretant; the interpreter--that is, the person involved--may be included as the fourth component. The designatum is the object referred to--designated--by the sign vehicle; the interpretant is defined as "a taking-account-of-something." Insofar as this vague definition can be translated, it seems to be in the nature of what the sign vehicle does to the designatum. For example, a symbol is considered to be a "characterizing sign;" that is, it characterizes that which it denotes. However, it does so without exhibiting in itself the properties of the designatum. Thus, a photograph, a star chart, a model, a chemical diagram--all of which resemble their designations--are considered icons, not symbols. But the word "photograph," the names of the stars and of chemical elements are symbols.

Symbols are governed by a semantical rule called a "concept" which does not invoke a principle of resemblance as with icons. A concept, according to Morris, "must be stated in terms of other symbols whose rules or usages are

not in question, or by pointing out specific objects which serve as models (and so are icons)" (Morris, 1938, p. 24). Thus symbols in effect are composed of references to a collection of icons.

None of the theorists discussed so far make any concessions or tailors his definitions to psychoanalytic symbolism. In fact, Cassirer tended toward an antipsychoanalytic stance, viewing psychoanalytic theory as extreme in its emphasis on the importance of sexuality. The reader nevertheless can get a sense from these discussions of the general definitions that have been applied by philosophical thinkers. Helpful as that is, the reader may also experience a sense of frustration about the gap that appears to exist between psychological, specifically psychoanalytic, concepts of a symbol and those discussed by the philosophers, which often appear directed primarily toward linquistic or epistemological considerations.

E) Susanne Langer

In 1941, the philosopher Susanne Langer published her book, Philosophy in a New Key, A Study in the Symbolism of Reason, Rite, and Art, which was greeted with general acclaim by students of psychoanalysis simply because it did embrace, even champion, the psychoanalytic concept and managed to do so in an extremely lucid style. The "new key" of Langer's title is the recognition in 20th century intellectual thought of the importance of the symbol. In particular, Langer (1980) points to the significance of

Freud's contribution to the philosophy of mind. I quote her here at some length because she is so refreshingly open to psychoanalysis:

> The great contribution of Freud to the philosophy of mind has been the realization that human behavior is not only a food-getting strategy, but is also a language; that every move is at the same time a gesture. Symbolization is both an end and an instrument. So far, epistemology has treated it only in the latter capacity. . .(Symbolism) is of primary interest, and may require sacrifice of other ends, just as the imperative demand for food or sexlife may necessitate sacrifices under difficult conditions. . . . The traditional theory of mind is epistemology -- the theory of knowledge; and Freud's psychology is not directly applicable to the problems which compose this field. Symbolism as it enters into the structure of knowledge, is better typified by mathematical "expressions" than by swastikas or genuflections. Language, not ritual, is its main representative. (pp. 51 - 52; emphasis in text)

Langer's definition of symbols tends to stress the Freudian orientation. As seems to be invariably the case, the definition of a symbol is influenced by the philosophy of the definer. Symbol is so intrinsic a part of any of these systems, that the system and the symbol are inseparable, and one gets the impression that the term "symbol" is defined after the general outlines of the system have been conceptualized. For Langer, a sign and a symbol are different (later on she decided to make "sign" the all-inclusive term and "signal" the particular term). A sign and its object have these characteristics: They "are associated somehow to form a pair; that is they stand in a one-to-one correlation" (1980, p.57); and for the observer, one element of the term is more "interesting than the other

but the latter is more available than the former" (1980, p. 58). She elaborates:

> If it were not for the subject, or interpretant, sign and object would be interchangeable. Thunder may just as well be a sign there has lightning, as lightning may signify there will be thunder. In themselves, they are merely correlated. It is only where one is perceptible and the other (harder or impossible to perceive) is interesting, that we actually have a case of signification belonging to a term." (p. 58; emphasis in text)

Langer distinguishes between "natural" signs and "artificial signs"-- "artificial" representing "arbitrary" ("man-made" seems to be another necessary attribute) events such as "a crepe on the door" being an artificial sign that "someone has just died." The interpretation of a sign, according to Langer, is the basis of animal intelligence: "Its mechanism may be conceived of as an elaboration of the conditioned-reflex arc." Thus, a sign, by definition, evokes action.

In contrast, a symbol does not evoke action in the presence of its object. For example, says Langer (1980):

> A term which is used symbolically and not signally does not evoke action to the presence of its object. If I say: "Napoleon," you do not bow to the congueror of Europe as though I introduced him, but merely think of him. If I mention a Mr. Smith of our common acquaintance, you may be glad to tell me something about him "behind his back". . .Thus the symbol for Mr. Smith -- his name -- may very well initiate an act appropriate to his absence. Raised eyebrows and look at the door, interpreted as a sign that he is coming, would stop you in the midst of your narrative; that action would be directed toward Mr. Smith in person. (p.60; emphasis in text)

In addition, symbols have another characteristic; they are vehicles for the conception of objects: "Symbols are not

proxy for their objects; but are vehicles for the conception of objects. . . It is the conceptions not the things, that symbols directly 'mean'" (1980, p. 600, emphasis in text).

Thus, Langer defines sign in three terms and symbol in four terms:

Sign	Symbol
subject	subject
sign	symbol
object	conception
	object

And she refers to symbol functioning as "connotative" and sign functioning as "denotative". Summing up her concept of connotation, she says: "The connotation of a word is the conception it conveys. Because the connotation remains with the symbol when the object of its denotation is neither present nor looked for, we are able to think about the object without reacting to it overtly at all" (1980, p. 64).

As one can see, Langer concentrates upon the meaning inherent in symbols as did Cassirer. In her further discussion, she is the only one of these philosophical theorists to specifically endorse the concept of repression, as contributing to symbol formation. To understand the significance of this, I will now turn to Freud's definition of a symbol, in which not only meaning and repression play a role, but in which the "affect" is particularly important to the determination of what is a symbol.

Part 2) Freud's Symbolic Theory

As we have noted, philosophers with the notable exception of Langer are not particularly directed, in their study of symbolism, toward the type of symbols that fascinated Freud. In a sense, Freud -- in addition to founding a psychology of intrapsychic processes -- founded a new definition of a symbol. Certainly prior to Freud, there was only limited awareness of the dynamics of dream symbol formation, although there were hypotheses about dreams being symbolic. As Langer pointed out, philosophers have some difficulty accomodating the Freudian view of symbol into previous definitions of symbol which focussed on the symbolic process involved in the development of language. This gap, between language as a symbol, and Freudian symbols, has so far not succeeded in being breached ; and it may be that in essence one is simply talking about different phenomenon.

In this subsection, I will summarize Freud's views on symbolism, which are central to the content of this dissertation. Freud's definition of a symbol is probably closest to that used here, although the reader will become aware of differences, particularly in my acceptance of some aspects of Jung's definition.

Despite the fact that psychoanalysis is generally associated with symbolism, particularly sexual symbolism, and Freud's single greatest contribution to psychology had its origin in dream interpretation, Freud in actuality wrote very little about symbolism and even that appeared much

later in his work than might at first be supposed. His "magnum opus," -- The Interpretation of Dreams -- which was largely completed by 1896, and first published in 1899, initially had no chapter on symbolism. He did emphasize distortion in dreams -- substitutions, displacements, condensations, and reversals -- in an effort to explicate how the manifest content and latent content of dreams differed; and he did include some sexual symbolism. But a theoretical systematization of symbolism, or a full understanding of the implications of symbolism, did not appear. This may have been because Freud initially sought to emphasize that an understanding of a dream required the associations of the individual dreamer; and so he made an effort to differentiate his discovery from previous "dream books" in which arbitrary formulas existed for deciphering symbolism. But Freud himself also acknowledges that he simply did not initially recognize the significance of symbolism. This fact is not entirely apparent if one reads through The Interpretation of Dreams without being aware of its history because, as Strachey indicates, Freud kept the book "more or less 'up to date'" with numerous editions: "By far the greater number of additions dealing with any single subject are those concerned with symbolism in dreams," notes Strachey (1953, p. xii). These are now concentrated in Chapter VI, Section E, the contents of which (with the exception of two paragraphs) did not exist at all in the original edition. It is particularly helpful to use the

Standard Edition in which Strachey "in view of these complications" has added a date in square brackets at the end of each paragraph in Section E indicating when first published. Thus, contributions from 1909, 1911, 1914, 1919 (when Section E first appeared separately) and 1925 comprise this one section on symbolism.

In terms of theory, Chapter VI, Section E is not as fulfilling as the one other instance in which Freud dealt at length on the subject of symbolism. This occurred in 1917 in Lecture X, "Symbolism in Dreams," of Introductory Lectures on Psychoanalysis (Freud, 1961), originally delivered a year earlier. These two publications comprise Freud's main explicit discussion of symbolism, although the topic appears in many other places with some of the theory implied. I will discuss both these publications.

The vast majority of Section E is devoted to examples of symbolism, largely from dreams, in which Freud also draws upon data from popular and vulgar expression, children's expressions, etymology, literature and mythology. Freud introduces his discussion by noting, "(T)his symbolism is not peculiar to dreams, but is characteristic of unconscious ideation, in particular among the people, and it is to be found in folklore, and in popular myths, legends, linquistic idioms, proverbial wisdom and current jokes, to a more complete extent than in dreams" (Freud, 1953, p. 351).

He continues carefully, however, by stating that it would be beyond the sphere of dream-interpretation to "do

justice to the significance of symbols and discuss the numerous, and to a large extent still unsolved, problems attaching to the concept of a symbol." His primary observations are four:

1) When "the element in common" between a symbol and what it represents seems puzzling; then in these cases light may be thrown upon "the ultimate meaning of the symbolic relation," and the genetic character of the symbolization.

2) "Things that are symbolically connected to-day were probably united in prehistoric times by conceptual and linquistic identity. The symbolic relation seems to be a relic and a mark of a former identity. . . . (I)n a number of cases, the use of a common symbol extends further than the use of a common language" (1953, p. 352).

3) "Many of the symbols are habitually or almost habitually employed to express the same thing." But this cannot be rigidly applied; sometimes "a symbol has to be interpreted in its proper meaning and not symbolically" and sometimes the dreamer "may derive from his private memories" unique symbols (1961, p. 352).

4) Freud's last point is that "As a rule the technique of interpreting according to the dreamer's free associations leaves us in the lurch when we come

to the symbolic elements in the dream content" (1953, p. 353). The analyst must rely on the one hand "on the dreamer's associations and on the other hand (fill) the gaps from (his) knowledge of symbols" (1953, p. 353). In his Lecture "Symbolism in Dreams," Freud (1961) spells out in greater detail, and the only time he does so, his theory of symbolism. One of the most important aspects of this is Freud's emphasis on the fact that a dream "uses" existing unconscious symbolism not just for the purpose of evading the censor. As Freud specifically states: "(E)ven if the dream-censorship was out of action we should still not be in a position to understand dreams, the manifest dream would still not be identical with the latent dream-thoughts" (1961, p. 149). The reason for this is the existence of symbolism (which the censorship sometimes makes use of to disguise things, but which exists irregardless). "Thus, symbolism is a second and independent factor," concludes Freud, "in the distortion of dreams, alongside the dream censorship."

Freud indicates that one of the characteristics of the symbol is that it does not yield to associations on the part of the patient, and that -- after collecting instances of this over a period of time -- one realizes that a symbolic relationship may exist:"a constant relation. . .between a dream element and its translation is described by us as a

'symbolic' one, and the dream-element itself as a 'symbol' of the unconscious dream-thought" (1961, p.150).

Freud (1961) further observes that:

> Symbolism is perhaps the most remarkable chapter of the theory of dreams. In the first place, since symbols are stable translations, they realize to some extent the ideal of the ancient as well as of the popular interpretation of dreams, from which, with our technique, we had departed widely. They allow us in certain instances to interpret a dream without questioning the dreamer, who indeed would in any case have nothing to tell us about the symbol. (p. 151)

Freud then cautions against performing this "act of virtuosity" because an interpretation based on a knowledge of symbols "is not a technique which can replace or compete with the associative one. It forms a supplement to the latter and yields results which are only of use when introduced into it" (1961, p.151).

Freud goes on to state that "the concept of a symbol cannot at this time be sharply delimited and shades off into such notions as those of a replacement or representation, and even approaches that of an illusion. With a number of symbols the comparison which underlies them is obvious." But with others, the "common element" of the comparison is concealed. What is "strange" according to Freud is that "(t)he dreamer should not be acquainted with it but should make use of it without knowing about it; more than that, indeed, that the dreamer feels no inclination to acknowledge a comparison even after it has been pointed out to him. You see, then, that a symbolic relation is comparison of a quite special kind of which we do not yet clearly grasp the

basis." (1961, pp.152-153). Freud then lists the range of things which are given symbolic representation in dreams: "the human body as a whole, parents, children, brothers and sisters, birth, death, nakedness, and . . . the genitals, sexual processes, sexual intercourse" (1961, p.153).

Freud states that: "The very great majority of symbols in dreams are sexual symbols" (1961, p.153). He then gives examples of sexual symbols for the male genitals -- indicating characteristics such as shape, penetration, and erection which lead to symbolization; for the female genitals; and for the female breasts. Next, he asks the question: "(H)ow we in fact come to know the meaning of these dream-symbols, upon which the dreamer himself gives us insufficient information or none at all." He answers:

> My reply is that we learn it from very different sources -- from fairy tales and myths, from buffoonery and jokes, from folklore (that is, knowledge about popular manners and customs, sayings and songs) and from poetic and colloquial linguistic usage. In all these directions we come upon the same symbolism, and in some of them we can understand it without further instruction. If we go into these sources in detail, we shall find so many parallels to dream-symbolism that we cannot fail to be convinced of our interpretation (p. 158-159).

He then gives examples of this method of determining and verifying the existence and meaning of a symbol, and adds one not mentioned above, observing children's behavior.

Freud next struggles to deal with the conceptual nature of symbolism. He states that what is striking is that the dreamer "has a symbolic mode of expression at his disposal which he does not know in waking life and does not

recognize" (1961, p. 165). Further, unlike other unconscious activity, these unconscious connections, comparisons, and pieces of thought regularly take one object putting it in place of another. "These comparisons are not freshly made on each occasion; they lie ready to hand and are complete, once and for all" (1961, p.165).

Moreover, states Freud, these symbolic relations are not unique to dreamers:

> This same symbolism, as we have seen, is employed by myths and fairy tales, by the people in their sayings and songs, by colloquial linquistic usage and by the poetic imagination. . . . Many symbols which are commonly used elsewhere appear in dreams very seldom or not at all. . .One gets the impression that what we are faced with here is an ancient but extinct mode of expression, of which different pieces have survived in different fields, one piece only here, another only there, a third, perhaps, in slightly modified forms in several fields. (1961, p.166)

He compares this mode of expression to a "basic language" of which all these symbolic relations would be residues. Interestingly, Freud states that "the symbolism in the other fields. . .is by no means solely sexual symbolism, whereas in dreams symbols are used almost exclusively for the expression of sexual objects and relations" (1961, p.166). Freud does not know how to explain this, and urges that "dream symbolism" not be considered alone. Only here, does he use the term "true symbol," stating: "We can only hold firmly to the suspicion that there is a specially intimate relation between true symbols and sexuality."

The reader will observe that Freud provides <u>both</u> a

definition of a symbol and a method of symbol discovery directed in particular to the interpretation of symbols in dreams. He emphasizes a two pronged approach to the determination of symbols in dreams: the first, to have the patient freely associate to the symbols; the second, to be familiar with a variety of sources in which the symbol appears, such as mythology, jokes, colloquial expressions, and so on.

What is striking about Freud's presentation, in light of the subsequent narrowing of the meaning of symbol in Freudian psychology by the work of Ernest Jones, is that Freud is conceptually open and vague, aware that symbolism exists as a subconscious language divorced from the concept of the censorship; and he tends to connect the concept of a dream symbol with other types of symbolism. As we shall see, the vagueness that Freud presented, apparently did not appeal to his followers, because subsequent psychoanalytic work with symbolism gravitated toward greater definition. More precise conceptualization of how one determines that X is a symbol of Y, or into the nature of a "Freudian" symbol, is to be commended. But a curious byproduct of this attempt at fine tuning has been to narrow the term, as if Freud's followers were uncomfortable with what, at times, in Freud's writing suggests a flavor of wonderment concerning the broad nature of symbolism.

Part 3) Early Psychoanalytic Writings on Symbolism: Ferenczi and Abraham

A) Ferenczi

In 1913, the psychoanalyst Ferenczi published a short article entitled "The Ontogenesis of Symbols" in which he attempted a definition of a symbol, in a psychoanalytic sense; and examined the origins of symbols (Ferenczi, 1916). Ferenczi's explanation is very short, but it has within its limitations, the virtue of a clear expository style. First, Ferenczi focused on children, stating that: "There can be no doubt that the child (like the unconscious) identifies two things on the basis of the slightest resemblance, displaces affects with ease from one to the other, and gives the same name to both (Ferenczi, 1916 ,p. 234). However, states Ferenczi, it is a mistake to designate " all these preliminary states in knowledge with the word 'Symbol;' similes, allegories, metaphors, allusions, parables, emblems and indirect representations of every sort might also in a certain sense be conceived as products of this lack of sharpness in distinction and definition, and yet they are not -- in the psycho-analytic sense -- symbols."

The distinguishing feature of a symbol, in a psychoanalytic sense, according to Ferenczi (1916), is the place played by "affect."

> Only such things (or ideas) are symbols in the sense of psycho-analysis as are invested in consciousness with a logically inexplicable and unfounded affect, and of which it may be analytically established that they owe this affective over-emphasis to unconscious identification with another thing (or idea), to which the surplus of affect really belongs. Not all similes, therefore, are symbols, but only those in which the one member of the equation is repressed into the unconscious. (pp. 234-235; emphasis in text)

Later on, after talking about a boy aged one and a half who said when first shown the Danube "What a lot of spit!" and of a two year old boy who called everything that could open, a door, including even his parent's legs, since these can open and shut (I had a similar experience with my own daughter at about the same age --when a book, my legs, a door--were all named "door"), Ferenczi (1916) states that this "equating, however, is not yet symbolism":

> Only from the moment when as the result of cultural education the one member of the equation (the more important one) is repressed, does the other previously less important member attain affective oversignificance and become a symbol of the repressed one. Originally penis and tree, penis and church-steeple were consciously equated; but only with the repression of the interest in the penis do the tree and church-steeple become invested with inexplicable and apparently ungrounded interest; they become penis symbols. (p. 236)

Ferenczi calls the first process, the equating of two objects prior to repression, "phanerosymbolism," and the second process, the establishment of the symbol, "cryptosymbolism." This division is similar to Jones' "symbolic equivalents" and "true symbols."

Ferenczi explains the now-familiar Freudian concept of "displacement from below to above" as follows: "In this way also eyes become symbols of the genitalia, with which they had previously been identified -- on the ground of extrinsic resemblance. There thus comes about a symbolic over-emphasis of the upper half of the body in general, after interest in the lower half has been repressed" (1916, p. 236). The relevance of this displacement of below

to above to the hypotheses of this dissertation, in which the heart is symbolic of the genitalia, should be apparent.

Ferenczi's discussion is useful because he so clearly gave a place to "cultural education" in the genesis of symbols, and succinctly explained the transition from equating to symbolism in the Freudian framework. What is also helpful is his emphasis on the role of affect in unconscious symbol formation.

B) Karl Abraham

The psychoanalyst Abraham published in 1909, a monograph entitled Dreams and Myths, A Study in Race Psychology (subsequently published in English in a translation by William Alanson White) (Abraham, 1913). Abraham does not provide a clear definition of a symbol; but he does make some relevant arguments concerning the symbolism inherent in myths, which he compares to symbolism in dreams. He states that a myth, just like a dream, is the product of a often hidden sexual wish which can be discovered through interpretation. To counter the argument that Freud overemphasizes the pervasiveness of sexual wishes, Abraham points to a number of facts:

1) "(A)t the beginning of the plastic arts, we find representations of the human sexual parts in endless profusion, sometimes hidden, sometimes with a clearness that permits no doubt" (1913, p.14).

2) "Sexual symbolism" assumes great significance in the religious cults of all people.

3) "All indogermanic and Semitic languages possess (or did possess in earlier times) gender" (1913, p.15). Related to this is the "still more noteworthy fact" that lifeless things are also sexualized in speech.

Then Abraham also counters an often-offered objection concerning Freud's emphasis on the role of sexuality in hidden wishes, and in symbolism in dreams and myths. To the objection, that the "impulse of self-preservation governs human life to a much greater extent than the sexual impulse" he responds (1913):

> In consciousness certainly the impulse of self-preservation with its radiations may often enough have precedence. The opponents of Freud, however, commit the error that only conscious processes are referred to. Freud has never maintained that the conscious sexual ideas have, among all the others, unconditioned superiority. It is precisely the unconscious, repressed ideas which influence phantasy in the strongest manner. (1913, p. 19)

To illustrate this point, Abraham chooses to discuss the Greek myth of Prometheus, who stole fire for mankind. First Abraham compares myths to assimilated memories of childhood. He states:

> The results of careful analysis have succeeded in showing, however, that the ultimate basis of a dream. . . is a reminiscence of childhood. The child fulfills his wishes, the real, unrepressed ones even, so far as they are not realized, in day and dream phantasies. In later years these phantasy activities are, by preference, relegated to sleep. In the dream the adult preserves, not only the childhood species of thinking but also the object of the infantile thoughts. (p .34)

Abraham compares the myth and the dream, by saying--somewhat obscurely: "The myth springs from a period, in the

life of a people, long gone by, which we may designate as the childhood of the race" (1913, p. 36). Thus the myth is defined as: "a fragment of the repressed life of the infantile psyche of the race. It contains (in disguised form) the wishes of the childhood of the race" (1913, p.36). He goes on to state:

> In the youth of a race, when more natural relations still prevail, when the conventions have not yet assumed rigid forms, every tendency could be realized. At a later time they were suppressed by a process which we can designate in the individual as repression. But they do not die out wholly but are retained in the myths. (p. 37)

Looking at the myth of Prometheus, Abraham proceeds to show how the censor uses displacement and condensation to conceal the sexual wish behind the myth. He analyses the etymology of the word Prometheus, in which such concepts as male genitals, rubbing, and robber appear. He points (1913) to the visual imagery of fire making, in which the borer or rod, is a phallic symbol:

> The symbolism of the deepest layer (of the myth) is evidently sexual; it gives expression to a grandiose complex. Man identifies his generative power with the ability of the borer to produce fire in the wooden disc, with the effects of the borer of heaven -- the lightning. The oldest form of the Prometheus saga is an apotheosis of the human power of generation. (p. 59)

I have focused on the work of Ferenczi and Abraham because they represent two of the most convincing early attempts to deal with symbolism within the framework suggested by Freud. Ferenczi is notable for his clarity; and Abraham offers a version of symbology, slightly different than that originally contemplated by Freud, which

the reader may recognize as being almost Jungian in conception. (Indeed, Abraham for a period of time worked with Jung.) In fact, Abraham's emphasis on the "childhood of the race" and "racial" history is vague in the same way as Jung subsequently became in trying to explain the peculiar similarity of human mythmaking through history. In conclusion, one finds in the work of Ferenczi and Abraham, these two early adherents of Freud, hints of the vast range of psychoanalytic symbolic studies. All of this was prior to Freud's break with Jung, and to Jones' work on symbolism which in its systemization of Freud considerably narrowed the definition of a "true symbol."

Part 4) Ernest Jones and "The Theory of Symbolism"

In 1916, Ernest Jones published in the British Journal of Psychology a long paper entitled "The Theory of Symbolism," in which he attempted to systematize Freud's discussions of symbolism and to summarize some prior work of Rank and Sachs, Ferenczi and others (Jones, 1961). He succeeded so well at his task that his paper has since become the jumping off place for most psychoanalytic discussions of symbolism, almost to the exclusion of previous work, including that of Freud. Thus, Jones' definition of a "true symbol" remains to this day the classical definition within Freudian psychoanalysis for the word "symbol." It also has sparked contemporary dissent, based on the fact that the definition appears to some writers too narrow.

Jones puts the concept of a symbol on a continuum, ranging from a symbol "in a wide sense, roughly equivalent to a sign" to a symbol "in a strict sense, as in psychoanalysis." In a wide sense, a symbol includes everything from mark and emblem to metaphor and simile; but in a strict sense -- a "true symbol" -- the meaning of the word is quite limited. According to Jones (1961, pp. 89-90), generally symbols have the following attributes:

1) "A symbol is a representative or substitute of some other idea, . . . the flow of significance. . .[being] from the primary idea to the secondary, to the symbol, so that typically a more essential idea is symbolized by a less essential."

2) "A symbol represents the primary element through having something in common with it."

3) "A symbol is characteristically sensorial and concrete, whereas the idea may be a relatively abstract and complex one."

4) "Symbolic modes of thought are the more primitive . . .and represent a reversion to some simpler and earlier stage of mental development."

5) "[A] symbol is a manifest expression for an idea that is more or less hidden, secret and kept in reserve. Most typically of all the person employing the symbol is not even conscious of what it actually represents."

6) "Symbols resemble wit in being made spontaneously, automatically, and in the broad sense of the word, unconsciously."

Jones then adds six more attributes, to the six above, to define "true symbolism" which he considers "one variety of the group of indirect representation" to which the first six attributes are attached.

1) "Representation of Unconscious Material": Jones (1961) states that this is perhaps the characteristic that most sharply distinguishes true symbolism:

> By it is meant, not so much that the concepts symbolised are not known to the individual, for most often they are, as that the affect investing the concept is in a state of repression, and so is unconscious. Further, the process of symbolisation is carried out unconsciously, and the individual is quite unaware of the meaning of the symbol he has employed; indeed, is often unaware of the fact that he has employed one at all, since he takes the symbol for reality.

Further, and Jones repeatedly emphasizes this, "the interpretation of the symbol usually evokes a reaction of surprise, incredulity, and repugnance on the part of those unfamiliar with it" (1963, p.93).

2) "Constant Meaning": Jones (1961) states that a given symbol may have two "or occasionally even more" meanings, in which case:

> The interpretation will depend on the context, the associations, and other material available. . . . But the possible variation in meaning is exceedingly restricted, and the striking feature is its constancy in different fields of symbolism, dreams, myths, etc., and in different kinds of people. It has to further be remembered that in interpretation it is often a question, not of either this meaning or that, but of both. (p. 97)

3) "Independence of Individual Conditioning Factors": Jones (1961) stresses that symbolic objects cannot be used indiscriminately or plastically to represent anything. He says:

> The individual has not an unlimited range of choice in the creation of a given symbol. . . . [He] can choose what symbol out of the many possible ones shall be used to represent a given idea; more than this, he can sometimes, for individual reasons, represent a given idea by a symbol that no one else has used as a symbol. What he cannot do is to give a regular symbol a different meaning from anyone else; he can merely choose his symbols or make new ones. (p. 98)

4) "Evolutionary Basis": Jones deals with the genetic aspect of symbolism separately, as I will do below; but he makes his explanation one of the six attributes of true symbolism.

5) "Linquistic Connections": Jones states that "although the word denoting the symbol may have no connotation of the idea symbolized, yet its history always shows some connection with the latter. This connection may be one of different kinds" (1961, p.99). They include:

a) Wit: In which the word is used in a humorous context, to establish a connection with the idea.

b) Older or obsolete use of the same word: In which the connection to the idea is more obvious.

c) The root: In which a common root exists.

d) A cognate: In which a word is cognate to both.

What is interesting is that Jones states that at least one of these "linquistic connections" can <u>always</u> be discovered.

6) "Phylogenetic Parallels": Jones states, with something of the same enthusiasm which appears to have gripped Freud in speaking of symbols, that: "One of the most amazing features of true symbolism is the remarkable ubiquity of the same symbols, which are to be found, not only in different fields of thought, dreams, wit, insanity, poetry, etc., among a given class and at a given level of civilization, but among different races and at different epochs of the world's history" (1961, p. 101).

Further, and not included in the six attributes above, Jones states that: "All symbols represent ideas of the self and the immediate blood relatives, or of the phenomena of birth, love, and death" (1961, p. 102, emphasis in text). In particular, the "field of sexual symbolism is an astoundingly rich and varied one, and the vast majority of all symbols belong to this category" (1961, p. 103).

Jones' definition of a "true symbol" came to represent the classical psychoanalytic concept of a "symbol." Although he recognized other types of symbolic phenomenon, he would not classify them as "symbols," preferring instead the term "symbolic equivalents." One might argue with the particular characteristics of Jones' "true symbol," or his failure to satisfactorally explain symbols outside the magic circle of the "true symbol." Certainly, one can argue with the presumption of such a name as "true symbol;" "psychoanalytic symbol" would been less judgmental and more accurate. But Jones is, theoretically, free to define his

terms as he sees fit as long as the system he creates is internally consistent and one would hope anchored in some aspect of reality. In terms of consistency, it is clear that Jones' system is inextricably intertwined with the study and practice of psychoanalysis. In terms of reality, the question arises whether Jones' narrow definition of a symbol unduly distorts the communicative function which a symbol may play, both generally and in therapy.

Taken literally, Jones' definition of a symbol reguires that facts be known about the individual or society producing the purported symbol -- about the state of mind of the individual with reference to the symbol, or the understanding of the society. Otherwise there is no way to determine whether the attributes of true symbolism -- representation of unconscious material, unawareness of the meaning of the symbol, and affect of incredulity when the meaning is revealed -- are met. In a sense, Jones' definition is designed to fit best, perhaps fit only, the psychoanalytic situation. It can in the strictest sense only be fulfilled in therapy, most specifically in the deciphering of dream symbolism, or in situations involving careful behavioral and affectual observation. Put differently, one man's "true symbol" may be another man's "symbolic equivalent" if the latter individual has consciousness of the meaning of the word or action.

In the remainder of his article, Jones grapples valiantly with ideas concerning the genesis of true

symbolism, and the differentation of "true symbol" from "symbol." He attempts to answer two questions: "Why are two ideas identified which the conscious mind does not find to be similar? And why does the one idea symbolize the other and never the reverse?" His basic thesis is that a symbol has its origins in the more "primitive" area of the mind, in which the two elements are identified with each other manifestly. He states (1961):

> The tendency of the primitive mind -- as observed in children, in savages, in wit, dreams, insanity and other products of unconscious functioning -- to identify different objects and to fuse together different ideas, to note the resemblances and not the differences, is a universal and most characteristic feature. . .It impresses one as being one of the most fundamental and primordial attributes of the mind. (1961, p. 105)

Interestingly, Jones calls this tendency -- to which he traces the first stage of the origin of a true symbol -- "assimilation," a concept subsequently central to Piagetian philosophy, although somewhat differently articulated by Piaget. Jones views assimilation as being determined by two drives -- the pleasure-pain principle and the reality principle. In terms of the pleasure-pain principle, the primitive mind seizes on the resemblances, however, slight, between a new and old experience because it focuses on what "most <u>interests</u> it personally, what, therefore is most pleasurable or most painful" (1961, p. 107; emphasis in text) and is indifferent to the rest; and because it is <u>easier</u>, or more pleasurable, to perceive the points of

resemblance." In terms of the reality principle, "the appreciation of resemblances facilitates the assimilation of new experiences" (1961, p. 108). The instinctive tendency is to link on the new to the old; and by relating the new experience in some way to what is already familiar, "then we can 'place' it and understand it; it becomes intelligible" (1961, p.108). Then Jones notes that this process has "grave possibilities of defects, it being an everyday occurrence that we assimilate the new too closely in terms of the old, but to assimilate it at least in some degree is the only way we can deal with it" (1961, p. 108). Thus, Jones summarizes the first stage of the development of true symbolism and notes how during this stage, as in primitive cultures, comparisons between sexual organs and their functioning, and other things in the world, take place openly. He refers to a symbolic association as a "relic of the old verbal identity; things that once had the same name as a genital organ can now appear in dreams, etc., as a symbol for it" (1961, p.111). And he cites with approval, Freud's likening of symbolism to "an ancient speech that has almost vanished but of which relics still remain here and there" (1961, p.111).

The second stage in the development of a true symbol involves the answer to the question of "why it is that of two ideas unconsciously associated one always symbolizes the other and never the reverse" (1961, p.114). To illustrate this point, Jones uses the same example as Fercenczi did

previously, by noting that a church tower in a dream "often -- though, of course, by no means always -- symbolizes the phallus, but a phallus. . . is never a symbol of a church tower" (1961, p. 114). The reason that one element in the symbolic association replaces the other, never the reverse, is that the ideas symbolized are the "most primordial" and "invested with the strongest primary interest" (1961, p. 115); and that powerful affective and conative processes attach to them, are repressed, and become inhibited from entry into consciousness. Thus, symbol is like a "compromise formation" -- a kind of substitution for the primary idea. The primary ideas of life are the only ones that can by symbolized -- ideas concerning the bodily self, the relation to the family, birth, love and death: "As energy flows from them, and never to them, and as they constitute the most repressed part of the mind, it is comprehensible that symbolism should take place in one direction only. Only what is repressed is symbolized; only what is repressed needs to be symbolized" (1961, p.116).

Jones gives some interesting examples of the concept he has expostulated. Thus, he states, that although the idea of a serpent has become associated, especially in the East, with that of knowledge (as a consequence of the sexual connotations of the serpent), it would be wrong to say that a serpent may "symbolize" either a phallus or wisdom, because to do so "is to confound two entirely different psychological processes" (1961, p. 128). The unconscious

does "assimilate the general idea of knowledge in terms of the more specific idea of sexual knowledge" (1961, p.128) but a true symbol refers to a "deeper meaning in the unconscious which can only be expressed in terms of the concrete" namely in this instance the phallus. In this way, Jones specifically disagrees with Jung, whom he claims dilutes the meaning of a true symbol by expanding the concept to ideas associated with the primary element.

Lastly, what is particularly significant about the Freudian theory of symbols, as articulated by Jones, is the emphasis on affective factors. As Jones states, in summarizing his theory of assimilation, governed by pleasure-principle and reality-principle, and then inhibition leading to the formation of a true symbol, even the initial identification of the two objects is much more an affective than an intellectual one.

Part 5) Jung's Theory

When Jung speaks of a symbol, he is speaking of a concept, developed over years of thinking largely independent of Freud and marked by the break in their professional association in 1913. In effect, it was over Jung's concept of a symbol that the break developed, for Jung denied the importance of pursuing sexual referents of the symbol, which Freud and his followers correctly perceived as attacking the core of their theory. Nevertheless, despite this theoretical difference, in other respects the ideas of these two men concerning symbology are

not mutually exclusive as much as they and their followers might insist upon it. Rather, they are complementary. Jung describes phenomenologically the invariable patterns that symbols take during the healing process of an individual from an ego breakdown. Freud analyzes the mechanism. Put differently, if simplified, Jung looks from outside onto the shifting surface of the process, Freud from the inside. Jung characterized this difference as his dealing with symbols as "subject," and Freud dealing with them as "object".

To explain Jung's concept of a symbol, it is necessary to begin with an explanation of a related concept: the archetype. The archetype has proven to be one of Jung's most compelling ideas and has been the one most frequently adopted (at least in part) by those of a Freudian persuasion who are otherwise very much at odds with Jung. The archetype is not, however, a symbol. It is defined by Jung as an innate propensity of an individual to produce in his thoughts or actions mythological motifs; the archetype itself is the innate structure, one which does not depend upon the particular experiences of an individual, and represents a possibility -- it may become expressed in some manifestation of the individual. Jung spoke of the archetype in a variety of ways in the course of his developing thought, and in numerous writings, but he never presented his concept in a complete, organized fashion. (A lucid attempt to do so is made by Jacobi (1971)). The

characteristics of the archetype which emerge from his work are the following:

1) The archetype has energy: Jung describes the archetype as having a "numinous" quality; it is a "living entity."

2) The archetype is unknowable: By its nature, the archetype is unknowable; only by virtue of "archetypal images," the manifestations of the archetype, do we sense the archetype. As Jung (1961a) states:

> Archetypes are, by definition, factors and motifs that arrange the psychic elements into certain images, characterized as archetypal, but in such a way tha they can be recognized only from the effects they produce. They exist preconsciously, and presumably they form the structural domninants of the psyche in general. . . . As a priori conditioning factors they represent a special psychological instance of the biological 'pattern of behavior,' which gives all things their specific qualities.

3) The archetype is part of the collective unconscious: Jung's concept of the collective unconscious is one of his most mysterious; the collective unconscious is the repository of all the psychic experience of mankind, and it acquires past history, as well as being in itself innate. Archetypes are the product of this collective unconscious.

When the archetype becomes manifest, it may do so as a symbol. A symbol in Jung's terms is also unknowable for by its very nature it "means more than it denotes or expresses." It has a wider "unconscious" aspect -- an aspect that can never be precisely defined or fully explained" (1961, p. 185). For Jung, symbols have various characteristics:

1) Symbols do not refer to isolated concepts or objects: For Jung, symbols refer to mythological contexts, to enacted stories, or the potentiality for a certain type of structured enactment which is embodied in the symbol, whereas for trend, symbols began to repressed usually very specific concrete objects to which are attached strong and forbidden emotions.

2) Symbols emerge as a consequence of a conflict in which the ego is powerless: Jung conceives of the symbol as coming forward, in a potentially healing action, as an excrusence from the unconscious to fill the void created when the ego cannot make a choice. Freud does not emphasize this phenomenology, although it might be injured, and tends to view symbols as in the service of an unhealthy defense.

3) Symbols are living so long as they are not understood: Jung states that at the point a symbol becomes understood it loses its power and becomes a sign. This difference lies in the consciousness of the individual so that, for one individual an object can act as a symbol, for another the same object, now understood acts as a sign.

4) Symbols have a healing effect: By their nature, symbols eventually are revelatory rather than

disguising in character. In time, their contents are understood. The process of doing so, just as the symbol itself, heals a break in the ego, creating a new characterological formation.

Jung contends that dreams, are a product of both repressed contents and archtetypes. The breaks that occur in the ego, at the time of extreme conflict can permit both repressed contents and archetypes to come forward. Perhaps the most striking difference between Jung's and Freud's theory lies in the psychotherapeutic method by which one determines what a symbol represents. For Jung, the method of revealing a symbol is "amplification," not free association. By amplification, Jung means that one attempts to translate the symbol in the same way as one would translate a foreign language (1975, pp. 82-83). Instead of reaching down into what Freud would refer to as complexes, he takes the role of a philologist whose language of study is symbolism. He refers to the Freudian technigue of interpreting a dream symbol as doing so on an object level, whereas he assumes that the manifest content is <u>not</u> nonsensical; he interprets on the subject level. In practice, what this means is that the analyst as well as the patient contribute material toward the understanding of dreams, referring to myth, religion, fairy tales and so on. What they mutually search for, in fact, is the healing effect that is embodied within the symbol, as indicated by finding the symbol in mythological contexts.

An example will clarify this technigue of amplification. I take one offered by C. A. Meier (1959). A patient dreams:

> I was fishing for a trout, not in an ordinary stream but in a reservoir divided into compartments. For a time I fished with the usual equipment of flies, etc., but I caught nothing. Becoming exasperated, I took up a three-pronged spear, which was lying nearby, and immediately I succeeded in spearing a fine fish.

The element that was amplifed was the three-pronged spear. It was seen as the main attribute of the Greek god Poseidon, or Neptune in Roman mythology. The qualities of Poseidon included destructive ones, for he was god of earthquakes which he created by driving his trident into the earth. He was also god of the sea, which he could whip into a destructive frenzy, and of storms; and he shared with Zeus and Hades dominion over the Cosmos. However, aside from his terrible power, Poseidon was also a creative god. He was a "stormy" lover, producing many progeny, and was responsible for fertility, particularly plant fertility. He also used his trident to create the first horse. He is considered both a farmer and a horseman. He was a doctor and the father of two doctors. Thus, the analyst concluded that Poseidon is a creative god, and his trident is his creative tool (cf. Hall and Nordby, 1972, pp. 71-72).

I stated at the beginning that Jung in some ways articulated a theory aspects of which were compatible with Freud's. Indeed, there are certain emphases which the theory represents, which should be noted. For one, Jung avoids the darker aspects of conflict; he plumbs for what

one might call a transcendent healing quality to symbols. In terms of emphasis, this approach contrasts with an aspect of the classical Freudian approach to symbology particularly as articulated by Jones, which is affectually pessimistic. This difference is difficult to articulate but suffice it to say that a change in emphasis does not seriously threaten the Freudian concept of a symbol per se. In addition, and in a sense related, Jung speaks to the fact that symbology is innate in man, that it is not just a function of repression; but that there is joy and creative power to the symbolic function as well as a necessity for it in man's psychology. Although Freud appeared more cognizant of this than he is given credit for -- as we have seen he was careful to hedge about the innate nature of symbolic functioning -- he remained essentialy uninvolved in this aspect of symbology.

All in all, Jung's emphasis <u>is</u> more positive, at least manifestly, and his attempt, however mysterious, to reach to the underlying force and power of the symbol, to the archetype, represents something of which Freud was wary. Also, Jung pointed out the tendency for symbolism to be embedded in an archetypal "story line" -- a common pattern which has a remarkable similarity in various cultural phenomenon, myths, rituals, customs, as well as individual psychologies. Jung's focus on these common "manifest contents" is not mutually exclusive with Freudian symbology;

in fact, I hope to be able to show how heart symbolism often follows, over time, a pattern which invokes a constellation of objects and cultural events almost invariably the same.

On the other hand, having stated all this, the aspect of Jungian symbolic usage which is directly contradictory to Freudian thinking, and is in my opinion the most glaring defect in the framework, is Jung's denial, and the creation of an elaborate system in support of that denial, of the power of the sexual repression which leads to symbol formation. What Jung does, at great effort and with much erudition, represents an elaborate sidestepping of the sexual issue. No doubt this sometimes works, because what it provides, as in the example I cited, is a system for an avoidance of the terrific superego prohibitions that engulf individual psychology. To take the example used by Meier, the elaborate assurance that the trident is a creative "tool" can allay the fear that this patient may have that his own creative tool, his penis, is a destructive instrument.

The other difficulty that Jung's system creates is that determining how X is a symbol of Y is a vaguer and more confusing process, one with less of a sense of appropriate action, and with less reliance upon the individual in treatment in terms of information and cues. Clearly, the therapist can go off on a variety of tangents, can become more of a teacher than a therapist, because he is the one who provides mythological context and articulates it to the

patient. He educates the patient much more patently than in Freudian psychotherapy. Exactly what this does to the transference, particularly in terms of transference to all-knowing parental figures, remains to be seen. The danger is that it makes it difficult to speak about the embarrassing, hidden aspects of human functioning, in terms of bodily and conceptual matters, that are so rarely shared with others. If one must supply to these things a sense that they are "banal and uninteresting" -- as Jung states at one point (1975, p. 84) in explaining why he does not like to deal with complexes -- that they do not have the redeeming merit of a desexualized, distant, and transcendent mythology, then there will be certain aspects of oneself which are less likely to be revealed during psychotherapy. Put differently the problem is that "transcendence" in Jungian psychology can easily lead to siding with the superego.

All of this lends itself to a conclusion which could be roughly articulated as follows: Jung describes phenomenologically the symbols and the archetypes which seem to "live" the personality, particularly during times of ego breakdown, and which, if correctly understood by the therapist, can help him to guide the patient to a healed and new ego. This phenomenological description from the point of view of the pattern of symbology does not appear in Freud. However, in terms of technigue, the Jungian

technigue denies and sidesteps the repressive forces inherent in the formation of symbols, in favor of an elaboration of the symbol per se. Phenomenologically, in terms of the pattern of symbology, I have endorsed Jung but without any contradiction to the Freudian viewpoint, in which description is confined to the internal mechanics of symbol formation. Technically, in terms of psychotherapeutic treatment, I reject Jung for Freud. Jung's study of symbology is of technical help in alerting the therapist to the emergence of key symbols in the patient's archetypal struggle toward integration. Once alerted, however, I choose to pursue the genesis of those symbols in terms of their repressed components, the referrents of which always attach to the archetypes.

Part 7) The Genesis of Symbolism: Developmental Questions

The psychoanalytic writers we have reviewed so far were not directed toward investigation of the genesis of symbolism in the child's life, in a developmental sense, despite tentative steps in that direction. In the most extreme example, Jung never applied his theory of symbols toward infant or early childhood studies, nor can one readily conceptualize how he could have done so appropriately, as the effect of archetypes on human functioning seems dependent upon the development of ego functions such as language, customs, and myths.

Freud and the early psychoanalysts, including Jones, appear to make certain assumptions about symbolism in

infancy and early childhood which have since been troubling to both psychoanalysts and psychologists. The assumption seems to be that when symbolism functions for the child, or infant, it does so in somewhat the same way as for the adult. In addition, early Freudian theory is notably vague about exactly when symbolism develops, although logically symbolism dependent upon repression cannot develop until repression becomes a force in the child's life. This issue, and the related one of the narrow definition of the "true symbol" espoused by Jones and adopted by psychoanalysts generally, have been the principle sources of controversy about symbolism within the psychoanalytic community in the last twenty years.

Developmental issues concerning symbolism are not central to this dissertation, largely because the therapeutic cases to be discussed do not involve early childhood, nor do any of them involve pathology as gross as autism or schizophrenia in which one can sometimes see revealed the structure of symbolism. However, in a dissertation that posits the existence of a heart=breast equation that derives from infancy or early childhood, it is important at least to discuss how such an equation might be formed. In addition, Jones' narrow definition of a symbol has experienced its major, although by no means only, challenge from those theorists concerned about the genesis of symbolism.

It is those theorists whose work I propose to discuss in this part of the literature review. First, I will summarize the theories of Piaget concerning symbolism; and then I will turn to the psychoanalytic writers, such as Melanie Klein, who have sought to revise the narrow definition of Jones largely by discussing infancy and childhood.

A) Piaget

Piaget's study of symbolism is most clearly explained in his book Play, Dreams and Imitation in Childhood, which in the original was entitled La Formation du Symbole. Piaget's initial concern is the origin of symbolic thought, which he defines--following the philosopher de Saussure--as follows:

1) A sign is a signifier differentiated from its significant but conventional and "more or less" arbitrary; the sign is always social. Because it is social, it is liable to generalization and abstraction; it is the "origin" of rational thought.

2) A symbol is also differentiated from its significant but retains "a measure of similarity" with it. In addition, it can have purely individual origin as in symbolic games or in dreams. As an example, Piaget talks of a child who in his play represents bread by a white stone and vegetables by grass, the measure of similarity lying in the whiteness of bread and stone, and the greenness (and perhaps texture or

> origin in the ground) of vegetables and grass. The symbol is a "motivated" signifier due to the principle of resemblance; it is not due to a social convention so much as directly experienced by the mind of the individual. Piaget adds that: "The symbol will therefore be used in 'affective language' to express feelings and concrete experiences, rather than 'intellectal language' to express impersonal thoughts." (1962, p. 169)

As every other thinker concerning symbolism has tended to do, each using his own vocabulary, Piaget has differentiated between two types of symbolism. The first he calls "primary symbolism" by which he means "conscious symbolism;" the second he calls "secondary symbolism" or "unconscious symbolism." The determination of the primary or secondary quality of the symbolism is made on the basis of the conscious thoughts of the person employing the symbolism. Thus, says Piaget, when a child J. at 1 year 1 month, represents a cat on a wall by using a shell on a box, she is perfectly conscious of the meaning of the symbol, since she says "cat on a wall." This is an example of a primary symbol. However, in many games, the child may use symbols whose significance he does not understand.

> For instance, a child who has been made jealous by the birth of a younger brother and happens to be playing with two dolls of unequal size, will make the smaller one go away on a journey, while the bigger one stays with its mother. Assuming that the child is unaware that he is thinking of his younger brother and himself, we shall call a case of this kind secondary or unconscious symbolism. (1962, p. 171)

Piaget is not rigid about these distinctions. As he notes: "every symbol is at the same time conscious and unconscious."

> In the example of the shell assimilated to a cat, why did the child choose to evoke a cat rather than anything else? He certainly had no idea. The shell may have symbolized only the cat seen earlier on the wall, but it may have symbolized other cats, other animals, other moving bodies, in fact a whole possible series of related schemes, the mechanism of which would explain both why this particular cat was chosen and also the structure of symbolism. . .(W)hat has just been said is true of all thought, rational as well as symbolic, and that while the result of all mental work is conscious, its mechanism remains hidden. (1962, p. 172)

And he elaborates further:

> It must be clearly understood, then, that symbols cannot be classified once and for all as either primary or secondary. Every symbol is, or may be, both, i.e., it may have, in addition to its immediate meaning which is understood by the subject, more remote meanings. (p. 172)

Piaget's definition of a symbol is at a variance with Jones' adherence to the concept of a "true" symbol, in that he places symbols on a continuum between conscious and unconscious. But it should be noted how close his concept of an unconscious symbol is to the "true" symbol, and how, despite Piaget's specialization in cognitive development, he is well aware of the role played by affect in the formation of the unconscious symbol.

Having presented Piaget's definition of a symbol, let us turn to his attempt to investigate the development of symbols in childhood. Piaget traces the origin of symbolism to the play activity of the child, what he calls "ludic" activity. To understand this development, it is necessary

to discuss the central organizing principles of Piagetian theory: assimilation and accomodation. By assimilation, in the behavioral sense, Piaget means the integrating of external elements into already established schemes of behavior. Accommodation, on the other hand, is "any modification of an assimilatory scheme or structure" by the external elements. According to Piaget, then "cognitive adaptation. . . consists of an equilibrium between assimilation and accommodation" (Piaget, 1976, p. 172). These principles are important to Piaget's investigation into the development of the ludic symbol.

Piaget begins by examining a presymbolic activity of the infant, namely "imitation." He traces "imitation" from a pre-imitation, simple reflex stage, through sporadic imitation--which involves a circular reaction, assimilating a sound or action to a corresponding schema and accommodating the schema to the sound or action to produce "imitation"--to a more systematic imitation of sounds and movements. These first three stages extend from birth to approximately 8 months of age. Then comes a fourth stage involving two subdivisions: "imitation of movements not visible on the body of the subject" such as movements of nose, and eyes, and the "beginning of imitation of new auditory and visual models." At about one year of age, a fifth stage, "systematic imitation of new models including those involving movements invisible to the child" occurs. By this time, imitation "has become a kind of systematic

accommodation tending to modify the schemas with respect to an object" (1962, p. 61).

All this is by way of reaching to Stage VI, which is crucial to an understanding of Piaget's concept of a symbol, because it is only at this stage, according to Piaget, that the child begins "representative imitation." That is, during this stage, the child is able to reproduce for the first time in the absence of the model a movement or a sound never before imitated. Another term for this is "deferred imitation" in which the child imitates something no longer within his perceptual orbit. Presumably this imitation must be dependent upon some kind of memory, and thus "representation." "In its broad sense," says Piaget, "representation is identical with thought . . . In its narrow sense, representation is restricted to the mental or memory image, i.e. the symbolic evocation of absent realities" (1962, p. 67).

Elaborating on this distinction, and defining more clearly the symbol, Piaget (1962) states:

> [we] shall from now on call representation in the broad sense "conceptual representation," and representation in the narrow sense "symbolic or imaged representation," or merely "symbols" and "images." In accordance with the terminology of linquists, we shall reserve the term "symbol" for "motivated" signifiers, i.e. those which are related to the signified by some resemblance, as distinct from "signs" which are "arbitrary" (i.e. conventional or socially determined). At this same stage we find that in addition to concepts and symbols, signs begin to be used, since at approximately the same time as sensori-motor intelligence develops into conceptual representation and imitation becomes symbolic representation, the system of social signs makes its appearance in the form of speech. The problem therefore involves three terms:

concepts, symbols or images, and verbal signs (p. 68). Note how strongly the symbol is a visual phenomenon for Piaget, an interiorised image. As Piaget (1962) states:

> The mental image remains individual and it is precisely for that reason and because it is only a translation of personal experiences that it plays a unique role alongside the system of collective signs. That is why interiorised language is much more socialized than the image and always retains a tendency to exteriorisation . . . . The transformation of imitation into images, on the contrary, involves a larger part of true interiorisation. Even in the imaginative daydreaming and in dreams themselves, the imitation of experienced situations and of people and things, often strikingly exact even to the minutest detail is translated into images. (pp. 68 - 69)

To reiterate the point about the onset of these images: "During stages I to V of sensory-motor imitation there are no mental images. In stage VI of this first period, imaged representation makes its appearance" (1962, p. 74).

For Piaget, this circumscribed development of the image --of the symbol--requires some tying together with other cognitive development. There is, one senses, something artificial about the isolated manner in which the symbol develops in this conceptualization. As if aware of that, Piaget tries to tie together conceptually, the development of the symbol with the development of "sensory-motor intelligence:"

> Sensory-motor intelligence, which during the first two years coordinates perceptions and actions, and thus makes possible the construction of the notions of permanent objects, practical space and perceptive constancy to form and dimensions, continues to play a fundamental role throughout the rest of the period of mental development. . . Although it is outstripped. . by conceptual intelligence, which develops the initial schemas into rational operations, sensory-motor

> intelligence nevertheless remains. . . the essential tool for perceptive activity and the indispensable intermediary between the perceptions and conceptual intelligence. . . . The image, however, is not the product of pure perception, but of imitative accommodation, which itself bears witness to the existence of an activity which is above perception and action but below reflective thought. It is this activity which is the continuation of sensory-motor intelligence prior to the acquisition of language. After the appearance of language, we shall term it perceptive intelligence, or more simply "perceptive activity." (1962, pp. 75-76)

Piaget rarely invokes a concept of a force which drives this entire complicated mechanism. However, in one place, he states: "imitation is acquired through constant assimilation of models to schemas which are capable of being accommodated to them. . . Almost from the outset, there is in the imitative behaviors a kind of 'will to overcome'. . . but as soon as imitation comes into its own, with a skilled technique, it becomes automatic" (1962, p. 76). This "will to overcome" sounds very much like an invocation of an elemental force, which drives the infant to attempt to assimilate, and accommodate, a kind of life or, survival principle based on the need of the organism to react to its environment. Whatever value or valence Piaget may attach to this force (which he rarely discusses), his schematic development, with its separation of functions has a tendency to minimize affective and instinctual factors in early development, despite his statements to the contrary.

Regardless, and I have focused on this early development of the image-symbol in Piaget's conceptualization as preliminary to a discussion of the

"unconscious" symbol, an important, and unavoidable, point in Piaget's exegesis is that the symbol cannot appear until approximately 1 1/2 years of age, at the time of deferred imitation. Skipping through the next stages, which focus on the development of play (which as opposed to imitation stresses the primacy of assimilation over accommodation) we arrive once again at the issue of "secondary" or "unconscious symbolism."

Piaget's first statement about secondary symbols is that there are three groups of them. (This need to categorize symbols, always somewhat artificial, can in its details be misleading; but there do appear to be certain elements in common with Freud's attempt to do the same.) The three groups are:

1) those related to interests connected with the child's own body -- suction, excretion, etc.;

2) those related to elementary family feelings -- love, jealousy, aggression;

3) those related to anxieties centered on the birth of babies.

Interestingly, too, Piaget adds an affectual element to the existence of these symbols:

> [Direct] observation shows that when these interests are present in the ludic symbols the child usually shows evidence of a state of slight excitement (a special way of laughing, etc.) or sometimes embarrassment at being heard, which in themselves indicate the existence of a content which is something more than that of the primary symbol. (1962, p. 173)

The next question that Piaget approaches is whether dream symbols and ludic symbols are alike: "Is there in children's dreams a symbolism comparable to that of their games at the corresponding age?" (p. 1962, p. 177). Piaget's response, after presenting as evidence a number of comparable dreams and games, is that:

> "It would be difficult . . . not to recognize the analogy between these dreams and the games of the same children, the one difference being that in dream symbolism there are nightmares, while in ludic symbolism fear is still enjoyed. In other words, matters are settled more easily in play than in dreams. But as play is more easily controlled than dreams, this difference is natural enough. (1962, p. 179)

Similarly, dreams of punishment or autopunishment, also appear to be somewhat different in affect from comparable play. In fact, as Piaget observed, "the three kinds of secondary symbols we noted in the children we observed are strikingly present also in their dreams but often surrounded by a haze of slight anxiety, which characterises the difference between the ludic and oneiric plans" (1962, p. 181). In addition, Piaget endorses the Freudian concept of the content of dreams being "wishfulfillment" with the proviso that the word "wish" is given a "very wide meaning": "assimilation of reality to the ego such as we find in play" (1962, pp. 179-180).

Having set the stage, it is now that Piaget enters fully into a discussion of the Freudian explanation of symbolism. He begins with a rather sympathetic summary of Freudian thought concerning symbolism, putting it into the context of the Freudian experience of psychoanalysis (his

summary of psychoanalytic treatment has some technical characteristics which by today's standards are conservative, even rigid), and adding that an "essential condition for an understanding of the facts of Freudian psychoanalysis is that one undergo a 'training analysis.'" Without it, "one is in the position of the philosophers who talk of perception without ever having been in a laboratory to measure it!"

Piaget's first argument with Freud -- which he states represents only a difference in emphasis -- is a strawman issue, that arises because he misreads Freud. He argues with the fact that, as a consequence of Freud's emphasis on instinct as a "kind of permanent energy," the unconscious tends to take on the character of having "feelings of its own accord, as though it were a second consciousness" (1962, p. 186). In Piaget's opinion, "if feelings are observed in the unconscious, it is no longer as feelings." Rather:

> When there is a transfer of feeling from one object to another, we recognize that in addition to continuity there is construction of a new feeling through the integration of the old feeling in a new schema different from the previous one, and that affective continuity merely results from mutual assimilation of the two schemas. (1962, p. 187)

Freud himself makes the point that the unconscious does not have "feelings" or "affect" and that the transfer of repressed memories from unconscious to consciousness reunites affect with memory. It <u>is</u> true that often in speaking casually about the unconscious psychoanalytic

thinkers tend to imply that it embodies affect, which is inaccurate according to Freud's own view.

A second and more persuasive argument, one which has already been implied, concerns the nature of this "Freudian memory." "For Freud," says Piaget, "the whole of the past is preserved in the unconscious." And "(i)n accordance with their hypothesis, the Freudians make the beginnings of memory coincide with those of mental life" (1962 p. 182). Since Piaget does not consider that representative images exist until 1 1/2 years of age, he questions this hypothesis. Rather, what does exist are sensory-motor schemas which have the capacity of becoming memory images but are not yet "representative evocations." To support his thesis, Piaget points out how early childhood memories are innaccurate, by citing one of his own; but this is an unfortunate and erroneous argument for the issue is not the accuracy of memory but whether memory traces exist at all, however confused. In fact, Piaget's overall disagreement with the classical Freudian position concerning childhood memory would be likely to reach many more sympathetic ears in the psychoanalytic community today than in the early years of psychoanalysis. Regardless, the drift of Piaget's argument begins to become clear. He wishes to pare away any thesis, in an economy move, which interferes with the actions of assimilation and accommodation. Not unexpectedly, then, he argues very strongly that -- although repression is an understandable concept -- the thesis of

censorship invokes an unnecessary idea, and is -- on top of that -- illogical. Censorship is a difficult concept to grasp he says because:

1) It is unclear, in the Freudian scheme, where censorship exists: How can it exist in consciousness?

2) Unconscious symbolism is wider than that of repression. The first point, is really minor: Nothing prevents Freud from introducing censorship, into his system, in that it would be an automatic functioning of the superego. But the second point, which Piaget talks of as the "essential" one, is very important to the Freudian definition of the symbol. As Piaget notes:

> Freud gave two successive explanations of symbolism, a fact which is particularly intersting to us because the role of censorship was involved. The first explanation makes all the symbolic mechanisms depend on censorship, the symbol being no more than the idea of disguise. Later on, however, probably under the influence of Silberer, Adler and particularly Jung, Freud recognized that symbolism also constituted a primitive language, but maintained that it was disguise as well as language. (1962, pp. 191 - 192)

There is no doubt that Piaget has put his finger on a vagueness of Freud's -- a hedging which we previously examined in the section on Freud.

Piaget then proceeds to explain repression and unconscious symbolism in terms of assimilation and accommodation.

> The inability of the subject to understand a symbol and therefore its unconscious character, is accounted for by the fact that egocentric assimilation is carried to the point at which all present accommodation, i.e. all contact with reality, is suppressed, involving at the same time suppression of consciousness of the ego. A repressed tendency is one

> which the subject refuses to accept, and to which he therefore denies all accommodation to reality. It is consequently driven out of his consciousness, and there is no need to have recourse to "censorship" to account for its disguised character, since repression makes it incapable of awareness by refusing it any possibility of accommodation. . . . A repressed tendency is by definition deprived of accommodation and therefore disassociated from the conscious ego. If, in spite of this, it seeks support, it can only be by way of egocentric and unconscious assimilation, i.e. by means of a symbolic substitute. . . . There is a symbolic substitute because there is no possibility of direct realization of the desire, since it is repressed, and this symbolic assimilation remains unconscious just because it is only assimilation, without accommodation to reality. (1962, p. 203)

Piaget then states that: "Since it is not disguise, its positive significance must be discovered and related to that of symbolic play." Piaget adds, almost as an after thought, an element in his construction which has been somewhat glaringly absent, namely the role played by affect. He states that:

> Affective life, like intellectual life, is a continual adaptation, and the two are not only parallel but interdependent, since feelings express the interest and the value given to actions of which intelligence provides the structure. Since affective life is adaptation, it also implies continual assimilation of present situations to earlier ones -- assimilation which gives rise to affective schemas or relatively stable modes of feeling or reaction -- and continual accommodation of the schemas to the present situation . . . But when this equilibrium is not achieved, assimilation of present to past continues to be a vital necessity, and it is this primacy of assimilation over accommodation which is expressed by unconscious symbolism, in complete continuity with conscious symbolism. (pp. 204 -205)

Comments on Piaget's construction, and one must remember that despite the density of Piaget's system, and of Freud's, they are both essentially theoretical constructions designed to facilitate our understanding of phenomena, can

take two tacks. The first is a testimony to the importance of Piaget's observations: many of his observations -- the existence of symbolism separate from repressive mechanisms, the question of the nature of symbolic memory, and the positive drive leading to the manifest content of a dream -- have been accepted or continue to be debated in present psychoanalytic thought, as we shall see. A large part of this change in psychoanalysis derives from ego psychology and from child psychoanalysis. The second criticism reflects a primary weakness of Piaget's thought. It is his failure to fully acknowledge the place played by affect. As a consequence, Piaget appears to have seriously limited the affectual import, the overriding valence, involved in sexual concerns of the child -- the whole panoply of oral, anal, and genital issues. It is strange, for example, and one must recognize this as a value choice on his part, that he subscribes to the symbolic importance that comes to be attached to the child's concerns about birth but not to other issues. One might have thought that a variety of concerns, that a child readily express: about sexual identity, about interests in eating or being eaten, about anal issues of cleanliness and eroticism, and so on -- that these might be emphasized in his study of symbolism and repression. But in fact, despite his evident interest in psychoanalysis, Piaget appears almost naive about the compelling data and affectual impact of these phenomena on the child. Further, in the same way, his emphasis on

minimizing the place played by disguise in symbolism appears to miss some of the affectual and phenomenological data. Within the psychoanalytic setting, the experience of the analyzed as well as the analyst, is that of an uncovering of hidden material. Regardless of what one wishes to call such an experience, the fact is that it is an integral part of one of the driving forces of psychoanalytic investigation. Affectually, this is simply unaccounted for by a resort to assimilation and accommodation. Thus, Piaget fails to consider the affectual experience of the discovery of a meaning of an unconscious symbol. Perhaps the absence of instinctual forces, in favor of an overall force which resembles survival in Piaget' system, and the absence of sufficient constructs concerning affect, is simply the inevitable consequence of the different focus of Piaget and Freud. Regardless, despite his statements to the contrary, Piaget's system fails to communicate the affectual experience of the discovery of the meaning of a symbol. The tools he provides would never have unlocked the meaning of dreams, nor do they succeed in explaining the compelling power of Freud's thought to explain these phenomena.

B) Later Psychoanalytic Studies: The Kleinians

Psychoanalysts writing after Jones have debated whether the definition he made of a symbol was too restrictive. Sometimes they have attributed his definition to Freud, although, as we have seen, Freud was careful to hedge his views on symbolism and did provide for a broader definition

of a symbol. These debates and the issues brought up are at the core of the problem of symbolism from the psychoanalytic standpoint, and they represent also the most dynamic current reading on the subject. Ironically, the disagreement with the early psychoanalytic definition is largely a consequence of the successful application of psychoanalytically oriented treatment to areas not originally contemplated, namely to children and to more severely disturbed individuals, such as psychotics.

I have summarized here the psychoanalytic viewpoints that appear most pertinent, in some instances spending more time in summarizing one theorist's views than another's based on the significance of those views in terms of their effect upon psychoanalytic thinking, their uniqueness or both.

i) Melanie Klein

The theorist who really began the attempt to widen the psychoanalytic version of a symbol in terms of child work was Melanie Klein. (One of the ironies of this is that it was Jones who persuaded Klein to emigrate to England, and was instrumental in introducing her to the psychoanalytic community there, encouraging her work despite his theoretical differences with her.) Klein's views are generally held in disfavor by the classical Freudian psychoanalytic community in the United States, largely because she attributes to very early infancy such affects as "paranoia" or such concepts as the establishment of part

objects as objects, such as "good breast" or "bad breast." Nevertheless, in her concern for the nature of symbolism for the child, she focused upon an area in classical theory where much work remained to be done.

In a 1923 paper, "Infant Analysis," Melanie Klein argued that children's play, although an activity which is a sublimated one in part and thus not representative of something entirely repressed in the sense that Jones' used to define a symbol, nevertheless involved "sexual symbolic significance." In 1930, in a paper entitled "The Importance of Symbol Formation in the Development of the Ego," Klein took a considerably larger step, arguing that symbol formation begins during the "paranoid position" at approximately 3 months of age and as a part of normal development. It is at this stage, according to Klein, that the earliest ego defense is set up. To justify even talking of ego defense at such an early age (something which would be anathema to most Freudians) Klein turns to a remark of Freud himself that: "It may well be that, before ego and id have become sharply differentiated and before a superego has been developed, the mental apparatus employs different modes of defense." She states that this defense is a response to two sources of danger: "the child's own sadism and the object which is attacked." But the defense differs from the later mechanism of repression by being violent in character, conforming with the degree of the child's sadism. Unable to master the severe anxiety that results, the undeveloped ego

enters upon a process of identification as a protection. The child wants to destroy the object, particularly the part object such as the breast standing for the mother; and as a consequence he conceives a dread of the part objects. The organs against which he fantasies aggression, such as the breast, become equated with other things as a defense; and in turn new equations are formed again. Thus, symbolism develops. At first, these symbols represent part objects, but within a few months of early life they represent full objects, that is persons. The mother's breast is one of the first "part objects" given to symbolization.

ii) Hanna Segal

Hanna Segal, a follower of Klein, expands on this concept of symbols, and is often clearer in her explanations. She states (1957) in her excellent paper, "Notes on Symbol Formation," a number of reasons for expanding the concept of a symbol from the strict Jones' interpretation.

> In the first place the wider definition corresponds better to common linguistic usages. Jones' concept excludes most of that which is called 'symbol' in other sciences and in everyday language. Secondly, . . . there seems to be a continuous development from the primitive symbols as described by Jones to the symbols used in self-expression, communication, discovery, creation, etc. Thirdly, it is difficult to establish a connection between the early primitive desires and the later development of the individual, unless the wider concept of the symbol is admitted. (p. 392)

She then turns to a definition of symbolization as a three term relation, following the theory of Morris: Symbolization "is a relation between the thing symbolized, the thing

functioning as a symbol, and a person for whom the one represents the other" (1957, p. 392, emphasis in text). This, she says, means that in "psychological terms, symbolism would be a relation between the ego, the object, and the symbol" (1957, p. 392).

Segal states that symbol formation is an ego activity, which takes place when the ego attempts to master anxieties stirred by its relationship to the object, particularly by object loss. Disturbances in differentiation between ego and object lead to disturbances in differentiation between the symbol and the object symbolized. Thus, symbol formation starts at a very early age, at the same time as the child's development of object relations, and it changes its character and function with the changes in the character of the ego and object relations.

Segal next discusses these early object relations of the infant in which the object is split into ideally good and wholly bad. With the ideally good, the infant desires union; toward the wholly bad, he desires annihilation. During this time, the infant has hallucinatory wish fulfillment, corresponding to the wish for union with the ideally good, as well as bad hallucinosis. As a leading defense mechanism the child institutes projective identification, in which he "projects large parts of himself into the object and the object becomes identified with the parts of the self it is felt to contain. Similarly, internal objects are projected outside and identified with

parts of the external world which come to represent them" (1957, p. 393). These first projections and identifications represent, according to Segal, the beginning of symbol formation. However, the ego does not "feel" these as symbols or substitutes; they are felt to be the original object. So rather than calling these projections and identifications, symbols, Segal calls them "symbolic equations" (1957, p. 393).

Thus, according to Segal, one arrives at a phase which one sometimes sees in schizophrenic thinking -- concrete thinking where substitutes for original objects, or for parts of the self, are used freely but are not successfully differentiated from the original object. "They are felt and treated as though they were identical with it" (1957, p. 393). As a consequence: "Since a part of the ego is confused with the object, the symbol -- which is a creation and function of the ego -- becomes, in turn, confused with the object which is symbolized" (1957, p. 393).

iii) Winnicott

Another British child psychoanalyst, Winnicott, uses a very similar formulation to Klein's. Winnicott introduces the concepts of True and False Self, and also stresses the importance of the primary object (the mother) to symbol formation. The True Self emerges as a consequence of a mother who does "good enough" mothering, permitting the infant to believe in an external reality because the mother has successfully adapted to the infant's gestures and needs

in a way that does not clash with his omnimpotence. The infant can enjoy the illusion of omnipotence and controlling through his hallucinations, and then gradually he recognizes their illusory quality. It is here that the symbol exists: it functions as both the infant's spontaneous impulse and hallucination, and the external object created and ultimately catharted. In the second case, "when the mother's adaptation to the infant's hallucinations and spontaneous impulses is deficient, not good enough, a False Self emerges. The capacity of symbol-usage does not get started" (Winnicott, 1965, p. 145; emphasis in text).

C) Other Later Psychoanalytic Writers

The trend of most contemporary psychoanalytic writers, whether or not they agree with Klein's specific views concerning the "paranoid" position of the young infant, has been to broaden Jones' classical definition of the psychoanalytic symbol. This broadening has taken place on a number of axes as suggested by the Kleinians: The definition of a "true symbol" has appeared to many contemporary writers as too narrow, and they have favored a continuum between conscious and unconsious symbols; the emphasis on the symbol as largely a regressive attribute has been vigorously criticised, and the symbol has been viewed as useful not only in healthy ego defense but as a necessary entity by which the child gains a knowledge of the world. Curiously, none of these writers attempts to broaden the definition of a symbol to include any of Jung's concepts, although

a symbol to include any of Jung's concepts, although sometimes they use the word "archetype." To give some examples of this current trend:

i) Kubie and Niederland

Kubie, who has written a number of articles on symbolism, argues against the narrow definition of a symbol, saying: "There are no such discontinuities in nature as those who put the symbolism of dreams in a category of its own would seem to imply" (Kubie, 1953, p. 68). Kubie contends that the child's body is the basis for symbolism, and that the child symbolically extrapolates from his body to the external world to build both knowledge and language (Kubie, 1934). Niederland (1961) takes a variety of examples from two isolated examples of 3 year old children, to fantasy productions of adult patients with deforming or incapacitating diseases, to the development of pictographic Sumerian cuneiform writing from "unmistakable depiction of body parts and other concrete objects," to arrive at a similar conclusion that the symbolic use of the body is central to the child's establishment of his relationship to the world.

ii) Milner

Milner, another British psychoanalyst, makes an eloquent plea for expanding the narrow Jones' definition of the symbol, or at least removing the emphasis that crept into some of Jones' writing on the regressive nature of symbolism. Milner makes her observations in the context of

therapy with an 11 year old boy who was suffering from loss of talent for school work. She discovered that this child had been deprived of a stage in his development by the premature need to deal with reality, with survival, during the British war years; and that in therapy, she had to permit him to play and stage manage his sessions, as a way of reestablishing for himself the worlds of fantasy and reality, and his boundaries with the outside world. She perceived that fantasy play was necessary to the creation of object relations with this child, and that any attempt on her part to introduce reality considerations too early in treatment was counterproductive. In effect, in order to recognize and accept the outside world, it was first neccessary for the child to have the illusion, and the esthetic joy, of controlling the elements of the world symbolically himself.

In conclusion, Milner makes two points about the narrow definition of the symbol implied by Jones: The first is that the narrow definition has the advantage of simplification but the disadvantage of creating confusion "when one tries to communicate with workers in related disciplines such as epistemology, aesthetics, and the philosophy of science; it interferes with what might be a valuable collaboration in the work of clarifying some of the obscure issues about the nature of thought" (Milner, 1952, p. 194). The second is that the very practice of psychoanalysis:

> . . . implies the recognition that words are in fact symbols by means of which the world is comprehended. Thus, in the daily battle with our patients over the transference we are asking them to accept a symbolic relation to the analyst instead of a literal one, to accept the symbolism of speech and talking about their wants rather than taking action to satisfy them directly. . . . As he becomes able to tolerate more fully the difference between the symbolic reality of the analytic relationship and the literal reality of libidinal satisfaction outside the frame of the session, then (the patient) becomes better. (p. 194)

iii) Rodrigue

E. Rodrigue in asking for a broadening of the definition of a symbol, points to the importance of adopting the distinction between "symbolic equivalence" and "symbolic representation," the first being the prelogical melding of two objects, and the second being the establishment of the symbol. He suggests that symbolic equivalence tends to correspond to the first oral phase of development, in which the "infant's basic aim is to be at one with his object" (Rodrigue, 1956, p. 157). He indicates that central to symbolizing is the concept of the lost object. Rodrigue suggests the establishment of a dialectic here: "The work of mourning changes the nature of the internal object. It ceases to be felt as the replica of the external one and becomes, instead, a picture of it. . . The two-term relation formed by the internal and the external object have to become differentiated in order that one, the internal, may represent the other "(1956, p. 157). Rodrigue appears to imply later on that the anal stage is the ideal stage for the establishment of symbolic representation because of the separation of faeces from the body.

iv) Rycroft

Charles Rycroft, writing at about the same time as Rodrigue, also finds Jones' definition of a symbol too narrow. He disagrees with Jones' concept of a true symbol, stating that he "really made a distinction between different kinds of affect with which symbols may be invested and not one between two different kinds of symbolism" (1956, p. 145). Symbolism is not exclusively the language of the unconscious, according to Rycroft; and it is an "important aspect of ego-development". In effect, the symbol may be used during both "primary process" activities and "secondary process" activities in the psychoanalytic sense, that is in the phantasy systems of neurosis and dreaming, and in the representation of an appropriate object in the outside world.

In 1961, a report on a number of presentations that grew out of the psychoanalyst Charles Brenner subsection of the Ernst Kris Study Group at New York Psychoanalytic Institute (one of the most conservative of psychoanalytic groups) was published. A number of the articles mentioned here were first discussed in these presentations including those by Niederland (see above) and Almansi (see below). There was a division of opinion concerning whether or not Jones' narrow definition should be discarded; but by far the majority of writers, despite the conservative nature of the group, suggested a broader view might be more accurate; that the symbol, while a regressive phenomenon, not only hid

something but demonstrated something; and that the capacity for symbol formation begins in earliest childhood (N. Segal, 1961). It is possible now, twenty years later, that the broader definition has become even more accepted; but no papers as a consequence of more group study have been announced since these.

To summarize: One can see all of these more contemporary psychoanalytic theorists somewhat dissatisfied with Jones' definition, struggling to deal with the concept of the symbol for the infant and child, and attempting to link this concept to the subsequent appearance of the symbol in later development. They fail in the preciseness of definition or conceptualization that Piaget exemplifies in his developmental studies, although one can find statements which bear a resemblance to those of Piaget, if not as well systematized. They differ from Piaget, however by always stressing the importance of the child's relationship to the mother and his affectual bonds in general, to the establishment of the symbolic functioning and to the development of the distinction between reality and fantasy. They all but ignore Jung's concept of the symbol.

Part 7) Experimental Studies

How susceptible is the psychoanalytic concept of a symbol to experimentation? In fact, although experimental studies of psychoanalytic symbolism are few, many were performed very early in the history of psychoanalysis. Unfortunately, experimental work in symbolism has been

sporadic, and the continuity of the work or its integration into the body of psychoanalytic thought, is lacking. Nevertheless, the experimental work is some of the most interesting to come out of the psychoanalytic study of symbolism.

Experimental studies of symbol formation can serve two purposes. They can tell us the nature of symbol formation in general or they can reveal to us something about the meaning of a particular symbol. Thus, they can be used for exploration of the symbolic process or for confirmation that a particular symbol, whose meaning is presumed from studies of spontaneous symbolic phenomenon -- such as individual psychotherapy cases or cultural manifestations -- will also show the same meaning in a manipulated experimental setting. The studies done of symbol formation by psychoanalytic thinkers or those seeking to investigate psychoanalytic hypotheses, are quite fascinating but they are rarely incorporated into the writeup of spontaneous cases. Perhaps this is because, as Rapaport observes, it takes "certain kinds of people to do clinical investigations and certain others to experiment" (Rapaport, 1951, p.251, fn. 9). It is rare to find a person who is able to express experimental findings or hypotheses in good psychoanalytic form, or vice versa. It is even rarer to find studies which manage to combine both clinical data, and experimental verification in the same work; those studies that do, such

as work by Almansi or Fisher discussed below, are often impressive gems.

The first experimentalist in psychoanalytic symbolism was Herbert Silberer whose early experimental and theoretical work received both praise and criticism from Freud, Jung, Jones and Piaget. However, after Jones' lengthy discussion of Silberer's findings in 1918, in which he disagreed in large part with Silberer, psychoanalysts generally have neglected this experimentalist. A general exception to that rule, has been those psychoanalysts experimentally inclined, in terms of their work with symbolism, for whom Silberer's studies and conclusions have been unavoidable. One reason for Silberer's apparent neglect after Jones is that Silberer's definition of symbolism is considerably broader than that of Jones.

Silberer did a number of self-observational studies on hypnagogic imagery. He set himself the task of thinking about some problem, often highly abstract in nature, prior to going to sleep; and he had the facility of being able to awaken himself before actually dozing off, to record whatever imagery occurred. An example of the imagery in question, the first instance in which Silberer became aware of the nature of the phonemonen, and an example often quoted since, follows (Silberer, 1951):

> One afternoon, . . . I was lying on my couch. Though extremely sleepy, I forced myself to think through a problem of philosophy, which was to compare the views of Kant and Schopenhauer concerning time. In my drowsiness, I was unable to sustain their ideas side by side. After several unsuccessful attempts, I once

> more fixed Kant's argument in my mind as firmly as I could and turned my attention to Schopenhauer's. But when I tried to reach back to Kant, his argument was gone again, and beyond recovery. The futile effort to find the Kant record which was somehow misplaced in my mind suddenly represented itself to me -- as I was lying there with my eyes closed, as in a dream -- as a perceptual symbol: I am asking a morose secretary for some information; he is leaning over his desk and disregards me entirely; he straightens up for a moment to give me an unfriendly and rejecting look. (p. 196)

Out of phenomena such as this, in which in an altered state of consciousness, a symbol replaced Silberer's "normal state" abstract thoughts, Silberer developed the concept of "appreceptive insufficiency" which he took as a condition for the emergence of symbolism. "Apperceptive insufficiency" developed from the observation that symbol formation "appears as a falling short-of-the-idea, a regression to a previous and inadequate mental level." Symbol-formation develops "whenever a thought or idea proves too difficult to be supported by a given state of consciousness" (Silberer, 1951, p. 219) In other words, for Silberer, while psychodynamics determines the choice of a symbol, it cannot explain what gives rise to symbolizing itself.

"Apperceptive insufficiency" can arise from two general sources. First, it can exist because of a want of development (as in childhood or preliterates) or a temporary weakening of the apperceptive ability (due to a general decrease in the energy available for thinking -- as in the hypnagogic or dream state). Second, it can be due to the intervention of affects which make progress of the idea

difficult, due to the operation of the pleasure principle, or which divert attention to the autonomous complexes. The result, is two types of symbols:

1) First type: It originates in an "apperceptive insufficiency" that comes about on an intellectual basis.

2) Second type: It originates as a consequence of an affective basis. In the second type, the distortion is considerably greater.

Other early experimental studies of psychoanalytic symbolism did not use self-observation of an altered state, but created an altered state in an experimental subject using the technique of hypnosis. Most of these studies are experimentally crude, either poorly reported or not soundly conducted in terms of experimental design; and some of them, with explicit sexual suggestions, might not pass muster today in terms of experimental ethics. Nevertheless, they are most interesting. For example, Karl Schroetter, gave to an experimental subject in the hypnotic state dream suggestions. In 4 to 5 minutes, the subject spontaneously began to dream--query whether an hypnotically induced dreaming state is comparable to a spontaneous dreaming state -- indicating the beginning and end of the dream by agreed upon signs. After awakening, the subject reported his dream to Schroetter. Alternatively the subject was told to dream during the night, and given a post-hypnotic suggestion to record his dream. Schroetter's findings were quite striking. For one, the reported dreams did show obvious

relationships to the suggestions given by Schroetter, and sometimes to bodily stimulus applied by him during the dreaming state -- such as pinching. For another, some of the suggestions by Schroetter asked the subject to dream of events that presumably the subject would not consciously entertain -- that is, forbidden sexual wishes that would be repressed from the manifest content of the dream. As a consequence, these wishes appeared to express themselves in the dream in disguised fashion, that is symbolically. For example, a subject was told to "dream that you have homosexual intercourse with your girlfriend L." The manifest content of the reported dream had nothing about intercourse in it. Instead, the subject reported her dream as meeting her girlfriend, who was dressed as a peddler carrying a threadbare suitcase with a sticker on it "For ladies only!" The girlfriend invited her to her house, before which she took out an enormous bunch of keys, and gave her one of them, which she explained was to her suitcase. She adjured the subject: "Just don't give me away, my husband must not find out." The subject felt uncomfortable and distressed in the dream (Schroetter, 1951, pp. 243-244). Thus in the dream symbols such as suitcase = vagina, key = penis, and house = woman occur. Another experimentalist, Gaston Roffenstein, used the same procedure (Roffenstein 1951). In one instance, for example, he told his female subject to dream of felattio with her previous employer, Mr. X. The subject resisted, saying that: "I

would not have such a dream; certainly not with Mr. X!" The suggestion was repeated. She dreamt that Mr. X, told her to eat a banana, which she did, stating that "It tastes fine" (Roffenstein, 1951, p. 253). In another instance, a subject was asked to dream about intercourse with her father: She dreamt that her father gave her a travelling bag. When she opened the bag, a large snake jumped out, terrifying her (Roffenstein, 1951, p. 255). Nachmansohn made a similar study (Nachmanson, 1951). He added an additional if obvious variable: He gave the exact same dream suggestion to more than one subject. Then he commented on the various ways in which subjects reacted to his suggestions. Thus, he told two different subjects to "dream of sexual intercourse with a big strong man. You will get hold of his organ and kiss it." (Fellatio seems to be a favorite theme among these male experimentalists.) One subject dreamt of a big elm tree in full bloom, and a little snake moving on her body back and forth, which made her feel disgusted. The second subject dreamt of a "(b)eautiful cherry tree, and of putting into her mouth a cherry that hung low, but of then biting into a big worm. She feels disgust, vomits, but then is disappointed on awakening" (Nachmansohn, 1951, p. 281). Nachmansohn observes that the less anxious personalities appear to produce dreams in which the forbidden sexual wish is in less disguised form, which would accord with the Freudian theory of repression contributing to symbol formation. Rapaport, who collected these early studies

and translated them, comments that all these experimenters missed an opportunity to further explore symbol formation by asking the dreamers to freely associate after the dreams were provided. Now this would be a standard technigue, as if the experimental subject were an analytic patient who produced a dream in therapy.

Another and ingenious way of investigating the formation of symbols is through the use of the tachistoscopic presentation of stimuli, just below the level of consciousness so that the subject only consciously perceives a white flash of light. The subject is then requested to draw whatever occurs to him, and he is also asked to report his dreams of the next night. The first person to perform experiments such as these was Poetzl, but the contemporary pioneer of the method has largely been Charles Fisher, a New York psychoanalyst (Fisher, 1956, 1957). The subconsciously perceived picture often appears in the drawings and night dreams of the subject, but usually it is psychodynamically transformed. Some subjects may block entirely; some may take memories from the past apparently activated by the subconsciously perceived stimuli, and combine these memories with the stimuli; invariably, the successful drawings and dream productions show condensations and distortions involving the stimuli. The subject is also asked to associate spontaneously to his drawings and dreams, and during this associative process the

subject will sometimes approach very close to the actual stimuli without being at all aware of it.

For our purposes, Fisher's summary of the implications of his findings for symbol formation is particularly important. In commenting on the fact that subliminally presented long, thin geometrical forms were transformed into phallic symbols in subsequent drawings and dreams, he (1957) states:

> It would appear that preconscious visual percepts registered simultaneously with the activation of an unconscious process may be symbolically transformed in relationship to the nature and meaning of that process. If the geometrical form of the preconscious percept resembles the organ to be unconsciously symbolized, it will undergo symbolic transformation. It is known from Freud's work that elongated objects are readily transformed into phallic symbols. In Experiment VII, the star points and the M fragments were symbolically transformed into the urinating phallus. It is also of interest to observe how the star point with the missing tip took on symbolic meaning of the female genital. (p. 54)

In another study, a snake subliminally perceived apparently brought about subsequent dreams from which the phallic meaning of the percept could be clearly gathered (Fisher, 1960). What is further interesting about these studies, is that they seem to lend validity in part to Silberer's theory that "apperceptive insufficiency" leads to the creation of symbols. It is as if, in that sudden subliminally perceived flash, the mind is compelled to fill the apperceptive gap.

A similar and truly elegant study using the tachistoscope was performed by Renato Almansi (Almansi, 1964). Ten subjects were exposed at 1/200 of a second to a stimulus consisting of the outline of the Tablets of the Law

on which the Ten Comandments traditionally appear, that is, two rectangular tablets (each crescented on top) side by side. Almansi's hypothesis, supported by extensive mythological and cultural material, was that these laws, five on each tablet, actually symbolized the hands. In other words, hands were their disguised referent. Psychodynamically, Almansi also predicted that the phallus was represented or associated with the tablets, in part because of the cultural and superego prohibition on masturbation with the hands. Using hospital mental patients, Almansi asked them to tell their dreams of the night following the tachistoscopic exposure. The dreams and drawings by the subjects of their dreams showed striking motifs of hands and fingers, the numbers 5 and 10, phallic symbols, and masturbation. The study may be criticized for not having or referring to a control group, in which the subjects would be shown a blank white picture or another "legally oriented" picture other than the outline of the tablets tachistoscopically; for it is necessary to eliminate from the experiment the concept that "forbidden viewing" or the sense of something flashing by consciousness, but perceived subconsciously, or other intervening variables (such as being asked to report one's dreams, to draw them, or to view something associated with "law" in general) do not result in associations to forbidden activity, such as masturbation with the hands.

Part 8) Other Contemporary Approaches: Fromm, Hall, and Thass-Thienemann

A number of thinkers, who are more difficult to categorize, have written influential or, if not influential, pertinent and unique, works concerning symbolism. Here, I will summarize the works of three--Fromm, Calvin Hall, and Thass-Thienemann--which appear particularly appropriate to me.

Erich Fromm published a book in 1951 entitled The Forgotten Language, An Introduction to the Understanding of Dreams Fairy Tales and Myths, which is frequently mentioned in the context of symbolism. Fromm categorized symbols in his own way. There are three kinds of symbols: conventional, accidental, and universal. A conventional symbol (which appears to be a sign in some other nomenclature) is one in which there is "no inherent relationship between the symbol and the thing symbolized" (Fromm, 1951, p. 13). As examples, Fromm mentions the word "table" or a "flag of particular country." Fromm grants that there are "some words, however, where the association is not only conventional. When we say 'phooey', for instance, we make with our lips a movement dispelling the air quickly. It is an expression of disgust in which our mouth participates. By this quick expulsion of air we imitate and thus express our intention to expel something, to get it out of our system" (1951, p. 13). Most words, however, even if it is assumed that originally many or all

words had their origins in some inherent connection between symbol and symbolized, "no longer have this meaning for us when we learn a language" (1951, p. 14).

The "accidental symbol" is one which "cannot be shared by anyone else except as we relate the events connected with the symbol" (1951, p. 15). And the "universal symbol is one in which there is an intrinsic relationship between the symbol and that which it represents" (1951, pp. 15-16). The universal symbol:

> . . . is rooted in the experience of the affinity between an emotion or thought, on the one hand, and a sensory experience on the other. It can be called universal because it is shared by all men, in contrast not only to the accidental symbol, which is by its very nature entirely personal, but also to the conventional symbol, which is restricted to a group of people sharing the same convention. The universal symbol is rooted in the properties of our body, our senses, and our mind, which are common to all men and, therefore, not restricted to individuals or to specific groups. (pp. 17-18)

Fromm then attempts to chart a middle course between Jung and Freud in dream interpretation and analyzing symbols. Essentially, his disagreement with Freud is that he overemphasizes the symbol as a disguised sexual wish to the exclusion of other interpretations. On the other hand, Fromm criticizes Jung--whose emphasis on universal symbols he approves--for being equally dogmatic by excluding irrational wishes.

Fromm's appeal for a middle ground between Freud and Jung, despite the laudable intentions of the position, does not seem to have gained much following among the respective psychoanalytic camps. His valiant attempt at a middle

ground and his lucid and popular writing style aside, Fromm did not succeed in adding particular knowledge or new theory to the psychoanalytic study of symbolism.

The contemporary psychologist Calvin Hall, on the other hand, has been most successful in exploring psychoanalytic symbolism by developing new investigatory methods. Much of what he has done has been to deal with symbols in quantity, as they appear in more than one instance or more than one dream. In effect, he has dealt with symbols and dreams as phenomena to be collected, catalogued, and compared as one would with any other psychological phenomenon; and he has managed to combine a knowledge of psychoanalytic theory with his investigatory approach. I will attempt to summarize his findings by particular reference to the book he coauthored with Nordby on dream symbolism (Hall and Nordby, 1972).

Hall and Nordby classify symbols (again using terms unique to them) as denotative and metaphorical. A denotative symbol (evidently analogous to a sign) bears a usually arbitrary relation to its referent, whereas a metaphorical symbol exhibits an identity between its idea and the idea of the referent. To illustrate, they produce the following diagram:

DENOTATIVE SYMBOL	REFERENT
The word fox.	The animal fox
METAPHORICAL SYMBOL	REFERENT
The idea of a person	The idea of a fox as

as being crafty (foxy) being crafty.

They (1972) comment:

> The relation of a denotative symbol to its referent is usually arbitrary. A fox could be called by any other name, and is in other languages. The relationship of a metaphorical symbol to its referent is not arbitrary. It may be poetic or prosaic, but there has to be an identity between the idea of the symbol and idea of the referent. A person's conception of someone whom he calls a fox agrees with his conception of the animal. (pp. 65-66)

Hall and Nordby then observe how difficult it is to identify metaphorical symbols in dreams, distinguishing them from denotative: "No one has discovered an infallible rule or method for differentiating denotative and metaphorical symbols in dreams. To say that this or that element in a dream is metaphorical is only a conjecture or a hypothesis that has to be confirmed by other evidence" (1972, p. 66).

Hall, however, objects to the Freudian theory of dream symbolism "which states that symbols serve to hide something obnoxious" (Hall, 1953, p. 94). He is objecting, as did Piaget, and others, to the concept of the dream symbol as a disguise. His objections are three:

1) "(A) dreamer may have a disguised dream of an incestuous relationship on one night and a perfectly barefaced dream of incest the next night. . . What is the sense of an elaborate disguise in one dream when it is discarded in another dream?" (Hall, 1953, p. 94).

2) "(Many) people are able to translate their dreams although they have no acquaintance with psychoanalysis. What good does it do to disguise something in a dream when a

person is able to see through the disguise when he wakes up?" (1953, p. 94).

3) "There are many slang expressions for sexual anatomy and sexual activities. Some of these slang words are identical with those found in a psychoanalytic dream book. Since the meaning of slang is known to those who use it, how can these expressions be employed to hide one's true thoughts in dreams?" (1953, p. 94).

Hall (1953) contends that:

> Dreaming is a form of thinking and thinking consists of formulating conceptions or ideas. When one dreams, his conceptions are turned into pictures. The images of a dream are concrete embodiments of the dreamer's thoughts; these images give visible expression to that which is invisible, namely, conceptions.
>
> Accordingly the true referent of any dream symbol is not an object or activity, it is always an idea in the mind of a dreamer. A visible object, gun, does not stand for another visible object, penis; rather it may stand for the dreamer's idea of penis, if he conceives of the penis as a dangerous weapon. (p. 95)

Thus, he stresses the use of a symbol as an "economic" way of conveying a concept, one in which a certain quality of an object is emphasized. For example:

> Suppose that a person dreams about a cow and that it is disovered that cow expresses the dreamer's conception of his mother. Why does he find it necessary to symbolize his idea of his mother in this manner? Our reply is that he wants to express as clearly and as economically as possible the feeling that his mother is a nurturant person. He probably has other ideas about his mother, but in this dream he wants to focus on a single quality, so he selects a symbol, cow, which embodies this particular quality. (p. 96)

To put this concept differently, Hall states it from the perspective of the symbol itself:

> (The) translation of symbols into referents is only a first step. It is of far greater significance to determine what the use of a particular symbol tells us about the dreamer's conception of the referent. Riding a horse, entering a cave, climbing a ladder, plowing a field, and inserting a key into a lock may all represent sexual intercourse, but the conceptions conveyed by these images are quite different. (Hall and Nordby, 1972, p. 79)

Hall thus has the construct of "conceptual equivalents" in which the concept concerning a referent is similar for two or more symbols; thus a spear, a gun and an arrow are symbols which are "conceptually equivalent" phallic symbols because they emphasize the penis as an aggressive, penetrating weapon. However, they are not conceptually equivalent to a banana as a phallic symbol. Hall concludes that: "There are symbols in dreams for the same reason that there are figures of speech in poetry and slang in everyday life. Man wants to express his thoughts as clearly as possible in objective terms. He wants to convey meaning with precision and economy" (Hall, 1953, p. 108).

Hall's emphasis on the symbol as representative of a concept, of a quality of an object, is particularly useful, and his attempt to point out the symbolic nature of thought in general highlights the theoretical area whose import has troubled all psychoanalytic writers, beginning with Freud. But Hall also tends toward oversimplification in his effort to make his points. The fact is that figures of speech in poetry and slang in everyday life are <u>not</u> exactly the same as symbolism in dreams; dream symbolism is almost always unconscious <u>during</u> the dream, for one, and tends to be

unconscious after the dream. The individual who dreams of his mother as a cow to symbolize her nurturant qualities may have no awareness that the cow is a symbol much less represents an aspect of his mother; and he may resist the idea even if it is explained to him. The fact that a dreamer may at one moment disguise a wish in his dream, and in another dream express that wish openly in the manifest content does not obviate even theoretically the contention that an individual dream represents a disguised wish. It would simply mean that the individual, at various times, has different motivations in his dreams and his ego can at various times accept certain wishes more readily. However, Hall's point that dreamers sometimes have the ability to discern the meaning of a "symbol" in a dream (and technically whether or not they have psychoanalytic training would make no difference to the point) does raise questions about the "unconscious" nature of dream symbolism. I emphasized the "sometimes" because it should be clear that this is not an ability which any dreamer, no matter how psychonalytically versed, has all the time.

I will return to Hall's theoretical formulations later; but now I will discuss his pioneering program of symbolic research based primarily on the collecting of innumerable dreams and the sophisticated cataloguing of their manifest contents. In addition, he has developed a variety of other straightforward research technigues based on correlating dream contents with other events such as behavior and

personality. For our purposes, Hall's development of methods of symbol detection are particularly pertinent. What follows is a discussion of some but not all of the investigatory methods Hall uses, two of which -- the dream series and dream sets -- he has been most instrumental in developing. What should be clear from this summary is that Hall's approach to symbolism is considerably broader than that of many other writers in the field, and he seems able to encompass many different methods. His remarks about these methods generally reflect a more catholic attitude toward them. The methods I am summarizing are: free association, amplification, dream series, dream sets, hypnosis, etymology, and slang and figures of speech.

1) Free Association

Free association is Freud's method to decode the meaning of a dream or even "a single element in a dream which is symbolic" (Hall & Nordby, 1972, p.70). Hall here speaks of the individual psychoanalytic session. But he also introduces an experimental free association technique, to verify the fact that a certain symbol might be more than unique to one individual. For example, he tests the theory that "the stranger" generally symbolizes "the father" in dreams by obtaining free associations and then analyzing them, from a group of young men and women who exhibited dreams in which a stranger appeared. Indeed, he found that "in more than half of them some reference was made to the dreamer's father or another authority figure, such as army

officer, priest, grandfather, step-father, or another person's father. Rarely did the associations implicate the mother or any other female" (1972 p.72). It should be pointed out that such a free association technique requires a large body of data, and takes place in a context quite different from the individual therapy session.

2) Amplification

As we have seen, this is the method of Jung's method of symbol interpretation. According to Hall, the Jungian technique differs from Freud's in two respects:

a) "Amplification requires the person to concentrate on a dream element and to produce a set of responses which are directly related to that element. The result is a constellation of associations around the dream element instead of a line of associations that may lead far afield from the original element."

b) "In the method of amplification, the analyst as well as the patient may contribute material. Ancient writings, mythologies, religious texts, fairy tales, and other sources may be consulted to provide additional information about the dream element" (1972, p. 71).

Hall then mentions a difficulty with both free association and amplification "[How] to go from the great mass of material that is often produced back to the dream element and to decode it correctly. How does one select from the various amplifications or associations the one that

applies to a specific element in a specific dream?" (1972, p. 72).

3) Dream Series

Hall describes the dream series method as follows: "[It] enables one to amplify an element that appears in a number of dreams without asking the dreamer for his associations to it. One can determine what significance the element has for the dreamer by observing what role it plays in each of the dreams in which this particular element is involved" (1972, p. 73). As an example of this technique, Hall (Hall and Nordby, 1972) attempts to analyze the role of "stairs" in the dreams of a woman:

> In twelve dreams, the dreamer had a mishap or was threatened by something while going up or down stairs. In eight dreams about stairs, she had a sexual experience. All but one of these experiences occurred while she was going upstairs. This corraborates the idea that ascending stairs has a sexual connotation. In several dreams, she was going upstairs to get a better view (voyeurism?). In some dreams, stairs played a neutral or indifferent role. (p. 73)

In effect, what Hall is saying is that the conjunction of the symbol "stairs" with sexual experience in a dream series tends to add more evidence to the hypothesis that "climbing stairs" symbolizes sexual excitement. Nevertheless, often with a dream series, one still is required to make the same kind of inference that one makes in an individual dream; that is the dream series no more tells one directly of a symbolic equation, than the individual dream does. It simply increases the likelihood of a connection. Further, as in any statistical approach, no guarantee exists that in

each dream of this dreamer "climbing stairs" necessarily means sexual excitement.

4) Dream Sets

The symbolic meaning of an object or activity in dreams can be determined by analyzing dreams, from various dreamers, in which the object or activity occurs. This kind of analysis determines what a particular dream element usually means for a particular group of people. An an example, Hall speaks of the analysis of "35 dreams of swimming" taken from "a set of 1000 dreams obtained from young adults." (Hall and Nordby, 1972, p. 74). Out of these 35 dreams, the most prevalent association appeared to be fear of being attacked or having a mishap or drowning. The second most prevalent one involved sexual aspects of swimming: Having intercourse under water, having bathing suits come off while swimming. In addition, three times as many women dreamed about swimming as did men out of this sample.

Again, as in all statistical methods, one has no guarantee that the dream symbol appearing in the particular dream of one person means what it did generally for the group X (in this instance, there is some question if one is really dealing with symbolism at all, as Hall at times appears to be speaking of an association to an affect or of the motives for swimming in the dreams). On the other hand, the hypothesis of a particular symbol having such a particular meaning in a dream, is strengthened when other

dreamers have also had dreams involving this symbol, with the same meaning attached.

4) Hypnosis

We have already observed the use of hypnosis in the early experiments of Schroetter, Roffenstein, and Nachmansohn. Hall mentions two experimental hypnotic procedures to decipher the meaning of dream symbols. The first is similar to the early technigues of Roffenstein and Nachmansohn, in which the dreams of the subject are post hypnotic night dreams rather than hypnotized dreams of the experimental moment. A hypnotized subject is told to dream of a particular referent, but he is not told what type of metaphor or symbol to use. Thus, he may be told, for example, to dream of sexual intercourse; he dreams of a "fellow and a girl [who] go horseback riding." Thus, horseback riding appears in this instance to be a symbol for sexual intercourse (Hall and Nordby, 1972, pp. 75-76). A second procedure is one not employed by the early experimentalists; it is to "take an actual element from a dream and ask a hypnotized person to decipher it." Thus a hypnotized girl is asked to interpret a dream in which a woman is packing a trunk when a big snake crawls into it, terrifying the woman. The hypnotized girl states: "Well, I guess she was afraid of being seduced. The snake would be the man's sex organ and the trunk hers" (Hall and Nordby, 1972, p. 75). Presumably, in this example, such an

interpretation by this girl would not occur in her normal state, but is accessible in her hypnotized state because the hypnosis bypasses the superego and permits the subject greater access to her unconscious.

5) Etymology

Hall (Hall and Nordby, 1972) explains the use of etymology to decipher the meaning of a dream symbol as follows:

> The dream as experienced by the dreamer is a succession of images, and the dream as reported by the dreamer is a succession of words. In waking life, language is also the chief medium for describing one's thoughts, feelings, and fantasies. Words are not only denotative symbols, they are also metaphorical. In order to discover the metaphorical significance of a word it is usually necessary to study its history or etymology. If there is a close correlation between symbolism in dreams and symbolism in waking life, then the metaphorical meaning of a dream image should be the same as the metaphorical meaning of the word. (pp. 137-138)

As an example, he deciphers a dream of a college girl in which a boyfriend buys her a carnation, by tracing the history of the word "carnation." It is derived from the Latin carnis, meaning flesh, and other words from the same root are "carnal" and "incarnation." Thus, "carnation" in the dream, appears to refer to menstruation or defloration. Indeed, in the dream the carnation was bleeding onto the dreamer's white dress, to her embarrassment.

6) Slang

Hall made an elegant study of slang and dream symbols (Hall, 1964) which he subsequently expanded on theoretically (Hall and Nordby, 1972). He went through a dictionary of slang, noting every expression for male and female genitals

and for sexual intercourse. There were 200 terms for male genitals and 330 for female. He then compared these terms with a long list of dream symbols for sex organs, and for intercourse, from standard psychoanalytic writings.

Words and symbols were often exactly the same, or very similar, sharing particular conceptual qualities of the referents. Without going into detail, phallic words and dream images often shared qualities of length and hardness; whereas the female metaphors stressed the container-like character of the vagina. In addition, slang words and dream symbols for the female genitals often are taken from nature. Similarly, the symbols and words for intercourse were the same or similar, sharing one of three conceptual characteristics of intercourse:

1) "words or images that had an aggressive connotation, such as stab, invade, impale, prod, and poke"

2) "words or images which refer to the purely physical work that is involved, as exemplified by the expressions" "grinding one's tool," "greasing a wheel," and "climbing a ladder or stairs."

3) "words and images describing a mechanical action, such as mounting, penetrating, joining and thrusting"

Hall's technical innovations, and his broad view of symbolism, add richness to the study of symbolism. On the other hand, his general conclusions concerning symbolism are marred by his tendency to overstate his case and to become simplistic in the process of doing so. For example, he and

Nordby remark in speaking of dream symbols that: "metaphorical meanings of words reveal our thoughts and feelings rather than conceal them" (Hall and Nordby, 1972, p. 142; emphasis in text). Apparently, he is speaking of the revelation that occurs after the meaning of a dream symbol is discovered, in which one becomes aware of the conceptual quality of the referent (even the existence of a referent) in the dream. No thinker would deny that conscious use of symbolism can provide greater understanding or that once a dream symbol is analyzed, a greater understanding of the dream and dreamer emerges; but that is not quite the same thing as the case of most dream symbols before the dream is analyzed. Hall and Nordby do speak eloquently for the extent to which our behavior and thoughts are embedded in, or better constructed from, symbolism: "[The] language we speak, the slang we improvise, the things we invent, live with and use in our daily life, and activities we engage in are, whether we know it or not are just as metaphorical as the dreams we have at night. We live in a world of symbols, awake or asleep" (Hall and Nordby, 1972 p. 142). In other words, all of our behavior is a manifestation which combines conscious symbols and unconscious symbols. As important as this point may be, the danger of Hall's simplification is that it tends to ignore the important and unigue characteristics of the "unconscious" symbol, particularly as shown in the dream: the symbol's often seemingly innocuous or nonsensical nature

on the basis of the manifest content (not true to such a degree of other aspects of our lives), its affect--as mentioned by Piaget--of anxiety that often attends it, and the affect of surprise at discovering its meaning or anger and denial upon attempts to decipher its referent.

In 1968, Thass-Thienemann, a linguist and psychoanalyst published a book entitled Symbolic Behavior, an exposition of his views on the symbolic power of words (Thass-Thienemann, 1968). (A prior book, The Subconscious Language, [Thass-Thienemann, 1967] covers some of the same ground but less pertinently for our purposes.) For sheer adventure, in terms of tracing the history and associated behavior of selected words, the book is difficult to match. Thass-Thienemann sometimes carries one along with his enthusiasm in elaborating on the particular meaning of a symbol, and the richness of the associated etymology, before one is aware that his theory of symbols has not kept paced with his method. Regardless, his work appears original and is summarized briefly below.

Thass-Thienemann states that "any verbal utterance can be understood as a sign; it can be understood as a symbol" (Thass-Thienemann, 1968, p. 17). There are, according to Thass-Thienemann, five qualities which characterize a symbol:

1) It shares with the sign a common feature, that is it is a "vehicle of meaning." "Meaning is implied in or projected upon the sign as well as the symbol. Both are not

simply physical entities, but mean something beyond their physical existence. They are thus not only concepts of objects but also concepts of functions." However, "What they say and how they say it is different" (1968, p.18). "The symbol is no cue for immediate motor reaction. It represents an idea and supposes an insight and understanding which is not a condition for the mechanical reaction to a sign or a signal" (1968, p. 19). Thass-Thienemann gives as an example a red traffic light, which a dog even could be taught to treat as a "stop" sign; but he also notes that the use of red for a "stop" sign has symbolic value as well.

2) A second distinctive feature of the symbol is its "historicity." "Symbols emerge, grow and fade away in the course of history. No individual can make them, change them, or destroy them according to personal whim because it is a part of history" (1968, p.21). "It is not certain that the symbolic meaning valid today will be valid in the years to come . . . the symbolic meanings carried by verbal forms are part of a historical-social context" (1968, p. 21). In contrast, a sign does not depend upon an understanding of historical time to have meaning.

3) Third, in the case of a symbol, there "exists an unconscious hidden correspondence between the meaning and its vehicle; this vehicle might be a phonemic pattern of a word, a picture or a gesture. In the case of signs, the intended meaning and its physical carrier have nothing in common" (1968, p.21). As an example, Thass-Thienemann

returns to the traffic light, and deals with the color red as a symbol, with its association to "blood."

4) The fourth distinctive quality of the symbol is that it "has a cognitive function." "A sign demands a reaction in the sensory-motor sphere of the physical reality; the symbol addresses man who wants to see, observe, contemplate, and asks not for the cause but for the meaning of a phenomenon. . . It creates an intermediate sphere between objective physical reality and the subjective reality" (1968, p.22). Thass-Thienemann attacks philosophical attempts to eliminate the symbolic qualities of language from its cognitive function in "organizing thought processes" (1968, p. 24).

5) The fifth quality "results from the distance between symbol and reality." In the course of development:

> the distances between word-meaning, thing-meaning and symbolic meaning grow, and man becomes more and more aware of the tension between the general discoursive content and the nondiscoursive ineffable connotations of the intended meaning. The pre-verbal perception, never verbalized before, contains an element of new organization which can be represented through the figurative extension of conventional meanings. For such reasons symbolism is in its deepest layer figurative. (1968, pp. 23-24)

Thass-Thiemann's thinking on some of these criteria is difficult to follow; however, his attempt to capture, in the last criteria, the peculiar and enhanced affect that comes from the evocation of a symbol -- the sense of intellectual fulfillment which comes from the sharp economy of the

figurative form involved in symbolism -- appears to me important.

As Thass-Thienemann (1968) explains his method of investigating the symbolic meaning of a word, he becomes considerably more convincing. According to him, language "is a system of symbols based chiefly on forgetting" (p. 79). Old meanings of words, tend to be forgotten, in fact repressed:

> Constant and frequent usage does not make a word obsolescent or forgotten. There must be a reason for this decay. One will find, more often than not, that the original meaning did not simply fade out, but became destroyed, wiped out by an active force, by a language "Superego" which worked against it. If the new meaning of a word replaced the old one, there must be a connection between them. . . . Because language is in constant change and almost every word has been substituted for a previously existing one, it follows that the symbolic meaning of a word stands for another one, for the original meaning which was repressed. By this process of substitution, the symbol has become charged with many connotations. It denotes one thing, but means something else not overtly expressed. This in fact is the original implication of the word symbol, which is a derivative of the Greek verb sumballein (to throw together). (pp. 81-82)

The implications of this, for determining the meaning of words as symbols, rather than as signs, is that an entirely different type of etymological investigation has to be undertaken, one which focuses upon three dimensional "complexes" rather than two-dimensional etymological tracing. This is stated by Thass-Thiemann (1968) as follows:

> If (words) A and B hang together by an underground communication through root C, it is a futile attempt to construct on the manifest surface some logical transition between A and B when none exists in reality. But the real coherence can be found by accepting the

> fact that A and B are symbols; they stand as substitutes for repressed C. The meaning of C is still present as a latent possibility in both; they are associated with one another because they grew out of the same root. (pp. 82-83)

To illustrate his point, Thass-Thienemann, chooses to explore the "unconscious identification of "word" and "seed." He begins this investigation by referring to the Latin semen which denotes the "seed" of a plant as well as the "seed" of man; and the Greek word sperma, belonging to the Greek verb speiro, which means to "scatter seed" or "sow", also "spray, sprinkle, emit sparks." This leads to a parallel Greek verb "sparoa," leading to the related Latin verb "spargo,-ere," to strew, throw here and there, cast, hurl or throw about, scatter; to bestrew, sprinkle, splatter, wet, to bedew, moisten." The association of begetting and sowing are evident here. From this, come the interrelated words spring, sprinkle, spray, spark, sprawl and speak. In this way, Thass-Thienemann builds up a complex of historical association between words, such as "speak" and "sow". He ends with reference to the body as phallus, to the Greek word "logos" and parables which incorporated this concept of the "word-seed" such as, "The seed is the word of God" (Luke: 8:11). The full force of his presentation has to be read to be appreciated. Clearly, however, such an approach to symbolism, however valid, is beyond the competence of most psychoanalytic writers to either criticize or explore themselves.

CONCLUSION

As the reader can observe from this brief survey of the literature on symbolism, the field is replete with differences of definition and with differences in systems of thought. In my tentative definition of a symbol, given in the first chapter, I tried to employ those definitions and concepts that appeared to be most congenial to the data of this dissertation. From Freud and Jones, I took my general view of the symbol and its relationship to psychotherapeutic treatment. I tried to avoid some of the rigidity of Jones, however, by using concepts suggested by Hall and Langer. From Jung, I culled the important concept of the archetype which I find phenomenologically useful, but I rejected his more amorphous hypotheses. From Piaget, I adopted the use of the terms "conscious" and "unconscious" symbolism, and explored the concept of the development of symbolization from presymbolic, sensorimotor functioning different in quality from the symbol. A number of the other theorists--Thass-Thienemann, Almansi, Silberer, Fisher--have influenced my views of a symbol if less centrally.

The reader cannot fail to be impressed, as I was in reviewing the literature, at the lack of a monolithic appearance to the phenomenon of symbol and the difficulty of developing a definition. Initially, my thought had been to attempt to reconcile different viewpoints and describe the symbol as <u>one</u> unchangeable phenomenon. But the effort to be monolithic, while it can lead to insight, seems also to lead to a confining view of the symbol--very much as in Jones'

attempt. Perhaps the best way to avoid this is to recognize that a symbol can have a variety of functions as Thass-Thienemann indicates (I am indebted to Drs. King, Voyat, and Gould for discussion of this suggestion). Three appear most apparent: defensive, communicative, and liberative. The defensive role of the symbol takes place when the symbol acts as a disguise of a repressed and affectually loaded referent. This is Jones' primary view of the function of the symbol. The communicative function is when the symbol expresses in an economic and graphic form an aspect of the referent and thereby communicates forcefully some concept. Lastly, there is a liberative aspect to the symbol, the aspect that is most clearly articulated by Jung, in which the symbol is a vehicle by which a torn ego seeks to heal itself, and is a graphic representation of a step in a process of psychic development. In all of these instances, it should be noted that--in and of itself--the human mind is not only of necessity oriented toward symbolic and concrete thought, particularly on the subconscious level, but enjoys it as a creative exciting, even at times beautiful activity--and that there is a playful quality to symbolism. These characteristics--which can be used to seduce one away from observing the defensive function of a symbol-- are in large part based on the sense of tension that exists when one contemplates the way in which a symbol resembles its referent and the way in which it differs from its referent; in part on the associations that naturally

arise from such a symbolic comparison; in part, on the intellectual elegance of and economy inherent in symbolism; and in part, I think, on the very space (and I do not know any other way to express this except with such a graphic concept) that exists as a consequence of the inexact "fit" between symbol and referent. In a sense, that "space" is liberating from the world of signs or one-to-one correspondence; and it is that space to which the literal minded react with anxiety, which the psychologist or philosopher attempts to understand, and which the poet cultivates. Regardless, in terms of functions, it should be noted that these functions are not mutually exclusive; the symbol used in defense, still communicates some aspect of the referent, that is some concept, even if not consciously apprehended; the symbol also acts defensively to disguise some affectually loaded referent unacceptable to the ego; and the symbol used consciously and communicatively may still have an element of disguise, as a consequence of a wish not to refer to the referent directly. Thus, one can have a single definition of a symbol, but each symbolic instance may function somewhat differently, and with a somewhat different mix of functional characteristics.

In presenting this literature review, my hope has been that the reader will get some sense of the "territory" of symbolism and of the part of the landscape to which this dissertation is devoted. There is nothing in my tentative definition of the symbol that is new in the sense of being

suggested for the first time; however, the orientation is different than that of other theorists. In the next chapter, I attempt to add to the tentative definition of a symbol by providing a systematic discussion of how, given this definition, one goes about determining that X is a symbol of Y.

CHAPTER THREE: HOW DO I JUSTIFY CALLING X A SYMBOL OF Y?

Introduction

From the literature review, it is noteworthy to discover that most philosophical and psychoanalytic thinkers concentrate their efforts on defining a symbol, and avoid discussing the equally important question of what are the mechanics of determining that a particular object is a symbol for another object, linked by a concept. In this chapter, I will attempt to outline exactly how such determinations are to be made, in a psychoanalytic sense.

The question of whether or not X is a symbol of Y has a number of interrelated aspects to it, and upon thought the reader may discover that it is not as straightforward a question as may at first appear. In fact, it is really two questions. The first is whether, as a general matter, X has been a symbol for Y in the past or in other contexts. Since by the definition we have tentatively adopted, a symbol is a phenomenon enjoyed by more than one person, and is not unique or idiosyncratic, although it may have attached to it personal or idiosyncratic elaborations and associations, it is necessary to establish that X has functioned as a symbol for Y under various circumstances. Further, as a matter of evidence, the more instances that one can find for the existence of this symbol, the better (although there is a point of diminishing returns), for in this way one minimizes the likelihood that there is simply an idiosyncratic relationship between symbol and referent. If as a result of

such research, it is established that X has been repeatedly reported as appearing to be a symbol for Y -- in therapeutic case reports, or observational studies of children, or studies of mythology, or in any of the half dozen other contexts for the determination of a symbol -- then one can legitimately hypothesize, at the very least, the capacity of X to act as a symbol for Y.

But this is a different question from that of whether in the instant case X is a symbol for Y. One can be quite correct that X has the capacity to act as a symbol for Y, but be completely wrong in evaluating the appearance of X in a particular instance, in which it may, for example, have no symbolic significance at all, or stand for something else. This is not however to say that these two questions are unrelated. They are very much related, because to answer the second question one must frequently have knowledge of the content of the first issue. That is, one must have knowledge of the dynamics that establish X as a symbol for Y in general, to help to establish the existence of the symbol in the particular case. For example, if the hypothesis is made that the heart has the capacity to act as a phallic symbol, it may be helpful to understand the dynamics which create that symbolism; it may also be helpful to know that the sun also is often a phallic symbol, and that in other circumstances in which the heart has appeared as phallus, it has been associated with the sun. In other words, one must look for the dynamics that exist in established instances of

symbolism as well as commonality of elements in the various contexts in which the symbol appears in order to help determine whether in a particular instance X is really acting as a symbol of Y. In this sense, then, the two questions, of whether X has the capacity to be a symbol of Y and whether X is a symbol of Y in the particular instance, are related.

Because the instances of symbolism on which this dissertation is focussed occur in the psychoanalytic psychotherapy situation, where the symbol is mentioned by the patient, I have elected to divide this chapter into two sections. In the first section, I will discuss how it is determined from contexts outside a particular psychotherapeutic case that X has the capacity to be a symbol for Y. In the second section, I will attempt to show what criterion a therapist uses to establish that in a particular instance X is being used as a symbol for Y by the patient. Of course, these two sections are related in the same way as the two questions are related. My primary hope is that I can succesfully define for the reader the criteria that are used by a therapist in the midst of doing treatment to determine that X is being used as a symbol of Y.

1) APPEAL TO VARIOUS CONTEXTS

Introduction

In this subsection, I will discuss the rationale for symbol determination in various contexts: What is it about each context that justifies us saying that X is a symbol for

Y, and how do these contexts relate to that of psychoanalytic psychotherapy in which the symbol may appear? In psychoanalytic articles what usually occurs is that these contexts are appealed to, one after another, with no discussion of the methodology. The reason for this in large part is that the methodology is assumed to be understood by the psychoanalytic reader, so that there is no need, each time, to discuss it. Generally, this is correct. Unfortunately, sometimes the loss of the methodology leads to questionable reasoning, or to the failure to evaluate the comparative merit of a particular appeal to another context. Regardless, here I will attempt to define the methodology involved in each context. In some instances, the rationale is straightforward enough, in other instances, it is complicated; so that I will spend more time on some of these contexts than on others. In order of presentation, the contexts are:

Etymology
Slang and colloquial expressions
Myth
Customs and Rituals
Reference to Literature or Art
Applied Psychoanalysis: Analysis of
Creators and Their Work
Children's expressions and actions
Other Psychotherapy Case Studies
Experimental studies

A) Etymology

Frequently, in psychoanalytic articles on symbolism, reference is made to etymology to substantiate the fact that X is a symbol for Y. The underlying rationale for the etymological context is often not stated, as it has become an established part of psychoanalytic thinking. In fact, the rationale may not be the same in each instance: Three basic types of cases appear to me to exist, not necessarily mutually exclusive. In the first instance, the analyzer traces the historical derivation of the word. Let us say the individual says the word X, which the analyzer contends is a symbol for Y, in the context it was spoken. The analyzer, to substantiate his hypothesis, attempts to show that people in the past tended to associate X with Y, that the two terms were at one time one or very close to one, and that historically the present word derived from the past words. For example, if I contend that a dream element, a tape recorder, is a symbol for the heart, I might resort to pointing out that the Latin "cor," meaning heart, is contained within the word "recorder," and that etymologically this is from where "recorder" derived. I would thus conclude that at some point in time, as evidenced by the history of the word, people consider the heart to be a witness or "recorder." In the alternative, the analyzer may go outside the language of the word, or of its antecedents, and contend, by analogy to other languages in

which X reflects a present or historical juxtaposition to Y, that X is related to Y.

In a third instance, the analyzer contends that the individual either subconsciously or consciously has appreciated the association of the two elements, X and Y, within his language. Perhaps, for example, he knows Latin, suggesting the possibilty of conscious knowledge that "recorder" derives from "cor." Or, perhaps, in the alternative, he has subconsciously appreciated the relationship, by virtue of the frequency and pervasiveness of the "cor" sound. He might subconsciously recognize the meaning attached to the sound from obvious words manifestly related to the heart in which "cor" appears, such as "coronary" or "cortical"; or he might have subconsciously appreciated a pattern from some of the more difficult to recognize associations, such as "chord", "misericorde," "accord," and "courageous" (from the French coeur). A frequent reaction, when such tying together is made explicit for an individual, indicating that his knowledge lies just below the surface of consciousness, is " Oh sure, I should have seen that."

Lastly, etymological appeals frequently use intermediary terms. That is, X might be associated with Z manifestly in one instance. In other instances, also manifestly, Z might be associated with Y (without X present). As Thass-Thienemann effectively argues, looking at the complexes which surround words in this manner, can be

very enlightening. However, it appears to be the nature of such arguments, in which intermediate terms appear (as Z here), that a greater profusion of examples, from various languages, are necesary to convince us of the essential oneness of X and Y. In other words, the more terms that are put between X and Y, in proving their fundamental relatedness -- the less cogent the argument appears and the more examples seem to be necessary to support it.

B) Slang

A society's superego, in the sense of the approved manner of expression, attaches to proper speech and writing. Thus, slang, by its very nature, represents those aspects of thought that do not meet the standards of suppression and repression to which the society, at its most stringent, holds. Put differently, society suppresses and represses those events and concepts that are too affectually loaded, in terms of hate, fear, or even intense love, and does so by euphemistic words, or words that are impersonal or abstruse. Slang, particularly salacious slang, brings the affect of these referents more into the open. Both in its style -- such as its lack of adherence to proper grammar or the often aggressive affect with which it is verbally delivered -- and its content, slang represents the expression of rebellious and generally disguised feelings.

Slang however still employs symbols. But the symbology, as a consequence of the nature of slang, is now conscious as opposed to unconscious. In some ways, slang in

itself represents a parody of unconscious symbolism; it seeks to bring to the observers' attention the fabric of symbolism that is used in approved language to disguise the referents.

Slang is also more graphic than approved language; it tends to employ concrete rather than abstract terms. In this sense, too, it seeks to exhibit the structure of approved language, and criticize its hypocrisy. It also, takes delight, in the use of this graphic imagery. In this sense, slang is what might be called a poetry of rebellion. It is a poetry, in the sense that it takes pleasure from the use of symbol and metaphor, but the pleasure is always mixed with the expression of aggression. It is no accident, for example, that verbal statements in graffitti, a particular form of slang expression, are often metaphorical or use poetic forms. For all the above reasons, slang is an event upon which a psychoanalytic thinker may turn to help to substantiate that, in a given instance, an expression by a patient really represents an unconscious symbol. The slang boldly exhibits the referent that is missing in the patient's production.

C) Colloquial expressions

Colloquial expressions are often slang that has been accepted by society. Regardless, colloquial expressions share with slang a certain rebelliousness against the superego of language, but a rebellion that has been tempered and is tolerated. Invariably, as with slang, colloquial

expressions are graphic and concrete, and often their origin lies in specialized and concrete customs or practices of the past, which may be obscure to the present day users of the terms. However, as compared to slang, the psychoanalytic referents that may exist within collaquial expressions are often not as close to the surface, part of the transition to or reason for their acceptance. Such expressions often appeal to the psychoanalytic thinker by showing how current such symbolism is, how endemic to our lives without our being aware of it. The expressions do not speak for themselves, a trait they share with slang. In other words, they too reguire deciphering. For example, colloquial expressions invoking the heart are legion, and fill a full page of a serviceable dictionary. They include such expressions as "heartache," "eat his heart out," "heart to heart talk," "heart's desire," "learn it by heart," "my heart stopped in my throat," and "he wore his heart upon his sleeve." In none of these, are the referents clear, other than, in some instances the referent love, as an abstract concept, which appears to be invoked more as if the heart were a sign rather than a symbol for that concept. As in poetry, colloquial expressions take pleasure in graphic content, and the graphic content is more manifestly in the nature of a metaphor; the symbolic meanings, in the context, are much more disguised.

D) Myth

By definition, myths are stories that are believed by a mass of people who comprise an organized unit, with a history. Myths have also, by definition, been incorporated into the system of thought of that unit. Usually, the myth explains some alledged historical phenomenon, of importance to the society; often it speaks of the origin of the people in the society, or the origin of cultural taboos or accomplishments; or about cataclysmic natural or cultural events. In addition, invariably, myths involve something greater and different than human beings, with greater power: Gods or personified creatures or plants representative of their species (frequently the mythical first of their species) or personified natural phenomenon often appear in myths.

Perhaps the most significant aspect of a myth, that differentiates it from an effective story of great currency or antiquity, is that myths are woven into a cultural fabric believed by the majority of a people, or if not believed outright, taken as representative of the culture. Although individual writers may recount myths, characteristically the original writer is unknown. In fact, it is the nature of a myth, that it has been transmitted from one generation to another, and from one culture to another, with elaborations and variations acquired along the way.

The comparative study of myth has two subclasses, in so far as symbolic studies are concerned. The first subclass is the study of myth within a particular culture. By such

study, the student is able to discover what the original concepts were, and may be able to show, as a consequence, what were the referents. For example, by tracing various changes in the figure of Zeus, and the figures that preceded him historically, the great classicist A. B. Cook was able to show that Zeus' thunderbolt derived from the distinctive zigzag horns of certain animals (Cook, 1925). In other words, he was able to show that an attribute of Zeus symbolized something other than what it manifestly stood for (as a sign) namely lightning. Further, by placing this development in context, Cook was able to contend that the worship of Zeus began as horned animal worship. This type of comparative study, of a myth or a mythic element within the history of a culture, is what I call the vertical comparative study of myth.

In contrast, there is the horizontal comparative study of myth. In this instance, one compares a particular myth to myths which presumably are unrelated historically to each other. One observes similarities that cannot, at least from what we know, be attributed to historical diffusion. The horizontal study of myth, has in fact two aspects to it. The first is the study of the similarity of the elements in the myth. The other is a study of the similarity, not in individual elements, but in the broader story of the myth. In this instance, what one is searching for is evidence of genetic causation, in the Jungian sense. What is postulated is not only that one element will be symbolized

in a certain fashion, but that the stories will be alike, and will be all but interchangeable from culture to culture because they arise out of the same complex. In other words, what one will discover is a commonality in the structure of the myth that suggests the existence of an underlying archetype. In particular, the Jungian approach is directed toward the discovery in the compared myths of a process representative of intrapsychic spiritual development. The myth is seen as reflecting a process in which the psyche passes through stages of growth or attempts to heal itself as the consequence of trauma, and conflict.

E) Customs and Rituals

Customs and rituals, both past and present, are often used to "decode" the meaning of a symbol. The meaning of customs is often less explicit, that is less manifest to the society, than are the meaning of rituals -- which often are contained in a repository, either written or in the person of an individual who has been especially trained, and have the force of societal "law." Contemporary customs can be dealt with in their own right, and in terms of their history. Usually, with contemporary customs, we perform activities which we sometimes incorrectly think of as being universal to human culture, that have been determined for us by our society; and invariably have meanings. Sometimes, we may be aware of the hidden meanings, and other times we are not. By their nature, customs are symbolic activities. In our society, for example, the heart is frequently invoked in

our customs, whether to pledge allegiance to a flag or to celebrate Saint Valentine's day. The hidden meanings of these customs are, as might be expected, meanings which the society wishes to cover up because they are affectually too loaded. This we can discover by analyzing the customs and by tracing their history. To continue with our example, we find that the seemingly benign pledge rights of allegiance or Saint Valentine's day, have historical antecedents of human sacrifice in which the pledge was not metaphorically but literally the heart, and that these customs are associated with the equation of heart=penis (Reichbart, 1981). One is reminded in these cases of Karl Abraham's statement that one looks to the past because one finds their the psychological "childhood" of the race. In fact, what frequently happens is that one discovers that what we take today for metaphor was in the past done concretely. The metaphor is always a "gentile" remnant of a more violent, more emotional, more concrete original.

In addition to the historical tracing of a contemporary custom's antecedents to discover its symbolic meaning, one can turn to customs of other cultures unrelated historically to our own. In this case, one is reasoning by analogy, in which one finds similar elements and similar dynamics in these cultures, without any possiblity of historical diffusion. In this sense, then there is both the vertical and horizontal study of customs and rituals, in the same manner as vertical and horizontal stuyd of myths.

Rituals are dealt with by the analyst in a manner similar to customs. The only difference, as pointed out, is that the ritual has more manifest meaning within its culture or subculture. Thus, one can -- for example -- point to specific writing that the wine and wafer of Catholic religious service stand for the blood and flesh of Christ. However, despite the fact that the manifest meaning is more codified, invariably it will disguise some of the hidden meaning of the ritual. For example, in Christian ritualistic writing the worship of Christ is dynamically associated with horned god and phallic worship and historically traceable to these sources, and the cross is symbolically representative of the penis, but these symbolic meanings will be eschewed within the ritual.

As to the origin of rituals and customs, they are often traceable to the need to bind anxiety, and to a societally offered defense system for the individual, and often reflect what appear to be pathological solutions, albeit shared. On the other hand, it should be recognized that no individual can function without organizing principles of human interaction, which the rituals and customs provide. Thus, organizing principles can be analyzed as structures which bind anxiety by providing agreed upon rules of conduct and societally approved defenses, without resort to the contention that they are pathological in nature.

F) Reference to Literature or Art

Frequently, a psychoanalytic thinker will make reference to literature or an artistic work -- novels, poetry, plays, painting, sculpture, film -- as a manner of confirming, enlarging or developing an hypothesis concerning a symbolic equation. These artistic productions can be considered "adult play" as opposed to child play, and they contain within them conscious symbolism, as well as symbolism that may be unconscious.

When that symbolism is apparently conscious, in the sense that it is explicit in the work, then one can assume that the artist has managed to reach down into the well of his subconscious to bring back a symbol (and its referent) that usually eludes conscious grasp. The artistic temperament is gifted in this sense, for it manages to bring such material under ego control without succumbing to the emotionally loaded associations that attend the referent, and without encountering superego prohibitions or ego constraints. It plays with the symbolism. In this sense, it should be mentioned that appeals to the artistic context may be appeals to metaphors and similes rather than strict symbolization; that is the art work may frame the equations somewhat differently than pure symbol.

Often the symbolism in art work is not explicit, but implicit. One is then analyzing a work of art in the same way as one might analyze a child's play. Here, the justification to the appeal to the artistic contest is that the work of art may -- by its nature -- present a

particularly graphic or compelling instance of the symbolism. When the symbolism is implicit, one does not necessarily know how much of it was within the artist's consciousness. Artists by their nature often eschew articulating how much of their product is by design, nor can it be expected that everything in their product will be consciously controlled. The contention nevertheless is that the artist has the ability to sidestep the ego or put differently to work with the usually hidden referents to a symbol in such a manner that by juxtaposition or internal dynamics aspects of that symbol are elucidated. The artist does not present the explicit format of the scientist; his insights are intuitive. What the psychoanalytic thinker does is to systematize the essential elements and dynamics that the artist has intuitively culled in his work. Freud's first instance of this was in his analysis of Jensen's Gradiva, in which he showed that Jensen had an intuitive understanding of dream construction, by pointing to his construction of dreams in Gradiva, and of psychopatholgy, and more to our purpose also of symbolism (Freud,1959).

In the appeal to the context of art work, one other consideration merits attention. That is, if the art work is successful, in the sense of appealing over time to a mass of people, the appeal to it carries with it another consideration. That is, it is usually implied that the art work has managed to survive because it speaks so well to people's conscious and unconscious needs -- it intuitively

communicates with their subconscious understanding. The line between great art, in this sense, and almost great art, is a hard one to attribute entirely to our conscious understanding. Regardless, the psychoanalytic thinker who points to the use of a symbol in Shakespeare, is saying, in effect, that Shakespeare evokes from people a response which suggests that his intuitive understanding of human psychology is superior. In addition, often such great work becomes almost an integral part of the particular culture. It thus represents in some way an essence of the culture -- of the psychology, dreams, myths that are peculiar to the culture; and also the symbols that are particularly characteristic of the culture. Thus, great art -- even more so than popular art which does appeal to a mass but not necessarily over time -- carries slightly added weight as a context to which to appeal for confirmation of a symbol.

G) Applied Psychoanalysis: Analysis of Creators and Their Work

An interesting manner of "decoding" symbols sometimes takes place in the study of creators and their works. In this instance, one approaches literature, art or other creations in a slightly different fashion than previously described. For example, if a symbol appears in the work of an artist, the applied psychoanalytic writer may attempt to explain the power of the symbol not only by an analysis of the work but by an analysis of the interrelationship between the work and the artist's own life. Freud performed this in

his study of Leonardo Da Vinci (Freud, 1957). What one does in this case is to take the creation as an example of the individual's play, just as one might do with a child, and attempt to relate it to the artist's life. Invariably, artists or creators, are driven people who are seeking to master some event and anxiety in their lives, by a repetitive play to which they devote extreme energy. One thus seeks to understand what referents lie behind the repetitive use of a symbol by examining both the production and the individual's life. Studies of such personalities, and their symbolic productions, cannot be validated in the same manner as psychotherapeutic case studies; but by an internal dynamic consistency they can present evidence for a symbol as well as new speculative information about its meaning.

Such studies are not confined to works of art, but extend into science. Every scientific theory is a creative attempt to apply structure and dynamic meaning to the world, and invariably seems to reflect something of the psychology of its founder; by its nature, it fastens upon certain aspects of reality

H) Children's expressions or actions

Very frequently, the psychoanalytic writer on symbolism will appeal to the context of childhood words or actions to substantiate the existence of a particular symbolic equation. Essentially, what the writer is saying is that the existence of such an equation is more obvious from a child's words or actions than from an adult's; and that the

child's more transparent productions perhaps even give information as to the origin of the equation, because they have not yet been encrusted over with elaborations, usually the product of repressions or suppressions.

The child's words or actions need not be consciously appreciated by the child, although that is possible; rather the point is that the child's productions are more transparent for the analyzer, closer to the surface, whether or not consciously understood by the child. In addition, one seeks in children for the genesis of symbolism itself, to understand how it develops. One of the more striking things is that the child employs equivalences, again often involving the human body, that subsequently are hidden in the process of development -- instances in which objects are treated as the same (such as the "door" of a book opening, two legs opening, or an actual door opening). These equivalencies are usually forgotten, perhaps because this method of thinking no longer has survival value; put in Piagetian terms, accomodation has overrun assimilation, so that book, legs, and door are considered separate concepts. Yet, in adult productions, one may find that symbolically a door may stand for a book or two legs opening. What we have here, then, is that universal language of symbolism that seems to exist even without repression. One can, for example, contend that equivalencies to the human body are repressed because of narcisstic prohibitions; but book =

door has none of these. Thus, one also searches for symbols or equivalencies in childhood, although not in the strict psychoanalytic sense, as a way of decoding adult productions from the more primitive part of the psyche.

I) Other Psychotherapy Case Studies

One of the most important events to which a psychoanalytic thinker will point, in deciphering a symbol, is the discovery of similar symbolic usage in another case report. Such case reports are a great reassurance to the therapist that he is not reading his own associations into his material, or that the patient is not functioning wholly idiosyncratically. Also, in cases in which the symbol appears abstruse, or intuitively opague, other case reports -- by their appeal to the concept of quantity -- do much to confirm a symbolic hypothesis. Frequently, too, symbology will transcend ideological differences within the psychology profession, although different ideologies use symbols to different degrees or differently. To be able to point to the appearance of a symbol in the case report of a writer from a different school or persuasion, frequently has the virtue of an added valence of credibility.

Other psychotherapy case studies will provide the therapist with both quantity and additional information concerning the particular dynamics of a symbol. What one patient may only articulate implicitly another patient (perhaps even a more disturbed one) will articulate explicitly; and sometimes another therapist will be able to

more lucidly trace dynamics which are turgid or unyielding in the present instance.

J) Experimental Studies

The reader is already familiar with the experimental methods suggested or discussed in the literature review. Experimental studies of symbolism -- aside from the collections of data suggested by Hall in which spontaneous productions are systematically processed after becoming manifest -- appear to share one thing in common. Each is an attempt to create or manipulate an altered state of consciousness -- such as states of dream, hypnosis, drug induction, or perceptual insufficiency (as in the tachistoscopic studies). Thus, all of these experiments represent organized attempts to reduce the participation of the ego in reacting to the external environment. In this way, activities of the ego and superego (repression and suppression in particular) which prevent the appearance of affectually loaded referents are sidestepped, and logical or sign-oriented thinking is minimized.

Free association itself may be seen as a variation on this basic experimental model. Although it may not technically rise to the concept of "altered state of consciousness" it does reguire the ego to suspend as much as possible any judgment concerning relevancy and to tolerate what appear to be nonsensical thoughts and communications. The hope is that in the process of associating, particularly to a dream element, the calculated reduction of the superego

and ego components of thinking will permit the hidden referent, or something associated to it, to appear. It is for this reason that symbolic experiments themselves often make use of free association as part of their method. Thus, a subject will not only be asked to view a tachistoscopic display, but to draw a number of pictures afterward and to "freely associate" to them.

Conclusion

I have now summarized the different contexts to which a psychoanalytic thinker will refer in determining in a particular instance whether X is a symbol of Y. In the body of the dissertation that follows, in which I explore the heart as a symbol, one of these contexts does not appear at all, the experimental, for as nearly as I could determine no experimental studies of heart symbolism have taken place. However, all of the other contexts do appear. I have attempted to draw liberally from a variety of contexts, for the more varied the contexts in which one can show the existence of a symbolic equation, the more convincing the symbolic hypothesis becomes.

2) CRITERIA FOR SYMBOL DETERMINATION IN PSYCHOTHERAPY

Introduction

In this subsection, I will discuss the criteria for symbol determination which the therapist uses when conducting psychotherapy. Two aspects of therapy are important to understanding how symbol determination is generally done. The first is that the therapist is almost

always working with an hypothesis, in fact many hypotheses. The idea that X is appearing symbolically in the patient's words or actions is simply another hypothesis in the course of doing therapy which the therapist, depending on the circumstances, may choose to confirm. Thus, the criteria that I present in this subsection are really criteria for the confirmation of the validity of an hypothesis. Second, therapy is a developing and fluid situation, in which the therapist is frequently called upon to change his direction, again based upon an hypothesis, namely that the patient's primary needs at the moment have changed and something else is paramount. If therapy were an experimental investigation exclusively, in which the principle purpose is to confirm an experimental hypothesis, then the very fluid nature of therapy would be tightly controlled, and there would be minimal interference allowed by competing hypotheses or data extraneous to the experiment. In fact, however, the primary purpose of therapy is to heal the patient, or more accurately to permit his natural healing processes to operate successfully. For this reason, symbol determination can be a process that goes through twists and turns, stops and starts, repeats, and deadends; it can be a journey that barely gets started, or stops suddenly without ever being continued.

To be more specific, suppose a therapist, with his knowledge of symbolism in general, hypothesizes that his patient is using an object as a symbol. The therapist may

then wish to act seemingly like an experimental investigator, to determine if he is correct in his hypothesis, by making an intervention. Of course, I say "seemingly" because he is not free to do this unless he has determined, on other criteria, that such an intervention is therapeutically appropriate. But if he has decided to intervene, using that criteria, it does not necessarily means that he says to his patient: "I notice that you said X. Isn't it possible that X is a symbol for Y?" Or that he informs and instructs the patient by saying: "I believe the hypothesis that X appears as a symbol for Y is a good one, because it appears as a symbol of this nature in numerous contexts, such as . . . " Or that he discusses dynamically why X appears to be a symbol for Y in this case. Of course, if he felt it therapeutically advisable he might do any of these things. But he might equally do other things: He might simply ask the patient about what X means to him; he might say something about a related dynamic, for example that the patient appears to be talking about the wish to orally incorporate things, while hoping that perhaps the patient will react to this statement by recognizing that X symbolizes the mother and her breast; he may note instead another element in the patient's communication, say Q, which is more obviously a breast symbol, without alluding to X -- although in his own mind the presence of X has helped to confirm his hypothesis about breast symbology. He may speak about an affect of the patient's, which he considers more

striking in the patient's communication and more important to respond to than the use of the symbol, although he recognizes the the affect is related to the symbol, and may even have gathered the significance of the affect because of the symbol.

In the alternative, of course, he may elect not to say anything at all about the appearance of the symbol. He may make this determination for a variety of reasons: Perhaps the patient is working well, in the sense of speaking spontaneously without any apparent blocks, and the therapist does not want to interfere with this process; or perhaps in the therapist's estimation the patient's use of the symbol is tangential to the patient's main communication at that time -- communication whose import may lie in other contents, or in transference, or in affect.

When the therapist remains silent about the use of the symbol, and makes no intervention, directly or indirectly related to it, it does not necessarily mean he considers the symbol's appearance unimportant (even if it is tangential at the moment), although he may think that. It is equally possible that the therapist prefers to monitor the symbol, and by monitoring, I do not mean necessarily simply listening for it; it may be that in the process of monitoring it, he finds that he must modify and change dynamic hypotheses that have appeared during treatment, and relate to the symbol. It is conceivable, in fact, that the therapist never finds an opportune time to introduce the

symbol to the patient, but that the appearance of the symbol has seriously modified how the therapist thinks and acts about the case, the issues surrounding the symbol being dealt with in the course of therapy in other ways.

All of this is by way of introducing the difficult problem of symbol determination in psychotherapy. In a sense, it is still preliminary, for we have not yet discussed the crucial element here, which is how the therapist determines in any of these instances just discussed, that he is correct in his hypothesis. It would be nice, of course, if the patient simply stated, "I just used X as a symbol of Y." Unfortunately, this rarely happens. Even if it does, however, things are not that simple, because the therapist is not relieved of the obligation of articulating by what criteria he will judge the accuracy of the patient's observation. Patients may be inaccurate in their use of symbolism, particularly in the service of avoidance; or they may wish to please the therapist by adopting an idea of his. Further, the patient's deciphering of a symbol may be accurate, and at the same time, from a therapeutic viewpoint, may represent an avoidance of another issue bothering the patient, so that the therapist is called upon to react in a different fashion than he would if he felt the patient's observation was relevant. As a consequence, the symbol may not be further elaborated in treatment and additional criteria to confirm the accuracy of the interpretation may not be reached.

If in this seemingly best of all possible cases, when the patient directly confirms that X is a symbol of Y, there remain numerous questions of whether in fact X is a symbol of Y, and numerous possible criteria to be satisfied, symbol determination in other instances, when the patient is not as direct, is clearly going to be more difficult and require more complex criteria. Further, in all of this, it is important to be aware of the fluid nature of symbol determination in psychotherapy, which I hope to be able to depict to the reader from a phenomenological perspective. There is a constant back and forth that the therapist must endeavor to maintain, between his insights and interventions on the one hand, and the reactions of the patient on the other. Symbol determination is rarely a one-shot intervention; it is, if one might make an analogy, the introduction of a rowboat on the stream of treatment -- it may take patient and therapist a little way, be temporarily abandoned, be used again, even overturn and yield to other methods of propulsion, only to appear unexpectedly once more as a means of transit.

In what follows, I have attempted to provide different categories in which symbol determination takes place so as to suggest the criteria used in each category. One must recognize that dividing and categorizing what is a living process, inevitably removes from therapy some of its inherent spontaneity and complexity.

Categories in the Psychotherapeutic Session

A) Patient provides the interpretation

The first category is one to which I have already alluded. It is when the patient provides the interpretation of a symbol, which at some point was unconscious. For example, let us say that the patient has a dream concerning the heart and then provides, without assistance from the therapist, an interpretation of that dream in which he notes that the heart possesses meaning as a phallic symbol. As already noted, the patient's interpretation is not to be taken for granted as accurate, just because he provided it.

For one, he must meet a criterion which applies in all categories, and that is that the interpretation must have some explanatory power: It must help to explain the context in which the symbol is embedded. The explanatory power of the symbol need not be entirely apparent to the patient, although that adds to the impressiveness of the evidence; it may be apparent to the therapist. However, when the patient suggests explanatory power to his use of the symbol, which the therapist fails to perceive, and considers specious, then the hypothesis put forward by the patient remains unconfirmed. In this regard, a patient will sometimes assume that a symbol is a personal one, based on his associations, rather than having elements of universality; this of course would deprive it of meaning as a symbol within our definition. However, that determination does not necessarily lie with the patient, for the patient may be oblivous to a shared meaning for a particular symbol.

A patient's interpretation, which the therapist accepts, or even better which confirms an hypothesis of the therapist which he has not articulated to the patient, has from the evidentiary viewpoint special merit. Because patients are ususally more naive concerning psychoanalytic theory than their therapists, the interpretation has the virtue of being on its face one which is less likely to be biased by psychoanaltyic preconceptions.

Regardless, a patient's interpretation has added weight if as an apparent consequence of it, "something happens." One thing that must happen, is that the interpretation must explain something, to either therapist or patient. Sometimes, however, the interpretation may explain or reveal to either party something in a sense larger: For example, it may suddenly throw into perspective the entire meaning of a dream, or even better bring to light a memory formerly repressed. In other instances, behavior may change. The patient need not be aware of the change in behavior; nor for that matter need the behavior be within his conscious control. That is, for example, perhaps as a consequence of recognizing the heart as a symbol, the patient no longer brings up the heart in therapy as frequently as before, but has no awareness of this; or perhaps, more dramatically, he no longer experiences heart palpitations during certain situations of stress.

In all of these cases, one hypothesizes that the interpretation of a symbol brought to consciousness, through

verbalization, a symbolic relationship between two objects, involving a linking concept, which had formerly been hidden. When the symbolic relationship, and the referent, come to consciousness, they do so because the ego in its present state is strong enough to accept that the patient's motivations are really directed toward the referent. Having accepted that, the patient no longer has to direct his energy toward a former defense, or toward a substitute object. In the example given of palpitations, he no longer needs to act out through palpitations in such a fashion that his heart is the center of attention; but may accept his formerly repressed thoughts in which his motivations attach to the formerly disguised referent, let us say the phallus.

Even when the patient offers the interpretation, it must be noted that the interpretation does not take place entirely in a vacuum; it is usually the product of many things going on in the therapeutic relationship -- in which a therapeutic alliance has been established, and transference is at work. I will get into this aspect of the symbol and the context of therapy, in more detail later on.

B) Therapist provides the interpretation

The second category is that in which the therapist provides the interpretation. Again, as a consequence of this interpretation, the context in which the symbol occurs must be further illuminated; there must be some explanatory power to the interpretation. The patient can exhibit two reactions to the therapist's interpretation, reactions which

are not mutually exclusive as the patient may change over time:

i) The patient rejects the interpretation

The patient may reject or ignore the interpretation, and may do so vehemently. Of course, this may be because the interpretation is wrong. Nor does it appear to me that the vehemence of the rejection is a sign, as it is sometimes treated, that the interpretation must be right and the patient is highly resistance. Vehemence may be because the patient is angry at being misunderstood, or is requesting something else from the therapist, which the therapist, by focussing on the symbol, has rejected. However, there can be no question that vehemence is suspect; and that the patient's rejections (just as his acceptance, which may be done to simply please the therapist) are not to be taken at face value. Put differently, the probability, given a competent therapist, is that a particularly vehement rejection is a sign that the interpretation is accurate, and that the patient is defending against it. Freud and Jones, as we have seen, contend that symbolic interpretations are generally greeted with incredulity and anger when they are accurate. In addition, some personality styles lend themselves to dealing with therapeutic interventions by initially devaluing them.

Again, rejection may be a consequence of misemphasis by the therapist, in which the interpretation is accurate, but it is not what is called for at the time. The patient

subconsciously, perhaps even consciously, may have been asking the therapist to react to his communication in another way, and the therapist, while making a strictly accurate symbolic interpretation, has missed the central meaning of the patient's communication. This, in fact, is a very seductive trap for the therapist, who may understand subconsciously what it is that the patient wants but may not at all be inclined to acknowledge it, much less give it. In short, he may be angered at the patient's wishes toward him, whether they are aggressive or sexual. He then attempts to impose upon his patient a symbolic interpretation, as testimony to his superior insight, and when the patient angrily rejects it, has the satisfaction of knowing that he is right about the interpretation. In this instance, within the context of therapy, it is not the content of the interpretation which is operant so much as the meaning inherent in the therapist offering an interpretation at that particular juncture. In short, an accurate interpretation may serve a nontherapeutic function, which accounts for its rejection (1).

B) The patient accepts the therapist's interpretation

Equally, of course, a patient's acceptance of a therapist's interpretation is not to be taken at face value and may serve a non-therapeutic purpose. Acceptance may occur in the service of a subconscious masochistic wish on the patient's part, or as an event in a transference to a feared figure in the past toward whom the patient learned to

practice obedience. How is the therapist to distinguish between an acceptance of a symbolic interpretation that is therapeutic and one that is not? Indeed, the rules do not change: The patient's acceptance is noted, but the proof lies in his subsequent affect, behavior and associations as we have previously elaborated (2). It might be safely stated that the verbal acceptance is therapeutically indifferent to the accuracy of the interpretation. The affect and manner of a verbal acceptance may be significant in terms of transference; but the fact of a verbal acceptance is not important to a determination to the accuracy of the symbolic interpretation. Put differently, verbal acceptance is a social event, not an evidentiary one.

Footnotes

(1) How deeply to interpret a symbol is always an issue. Sullivan (1953, pp. 338-339) intrepreted the symbol of an old rusted Dutch windmill in a patient's dream by saying: "That is, beautiful, active on the outside -- utterly dead and decayed within. Does it provoke anything?" The patient responded, "My god, my mother." Says Sullivan: "We made fairly rapid progress [thereafter] in getting some lucidity on the mother. You will note that I have not discussed the latent content of the dream; but in psychotherapy, as I've come to consider it, one is occupied chiefly in benefitting the patient."

(2) E. Glover (1955) in a well-known but often misunderstood article points out that a patient may unconsciously formulate and consciously attempt to live up to an "inexact interpretation." Thus, apparent but not permanent cure can occur when the patient converts an inexact interpretation into a "displacement substitute." Put differently, this "psuedo-analytic suggestion" can effect what may look like cure.

CHAPTER FOUR: THE HEART AS SYMBOL

Introduction

In the first three chapters, I have presented to the reader the field of psychoanalytic symbolism, in all of its diversity, and the definitions and system of investigation of a symbol that I will follow in this dissertation. In the remainder of this dissertation, I propose to use this system to explore a number of hypotheses about the heart as a symbol. In particular, I hypothesize the existence of the following symbolic equations invoking the heart:

heart=penis

heart=glans penis

heart=breast

heart=vagina

heart=fetus

heart=bird

heart=seed (and related equations)

heart=sun.

In addition, I suggest a constant relationship of heart=hand, as well as discuss briefly some obvious equations, such as heart=clock, heart=small leaping animal, heart=stomach, heart=vessel, and heart=hour-glass. To explore the validity of these hypotheses, I have already indicated in the first chapter the format I will follow.

In this chapter, I propose to apply the principles enunciated in the previous chapter, to justify these symbolic equations involving the heart. Certain methods of

proof suggested in the previous chapter are not available in this instance, largely because a limited amount of work has been done on heart symbolism or a limited amount of work exists in these methods. Thus, there are no experimental studies involving the subject of heart symbolism, whether of the tachistoscopic variety (as might be done for example in the case of the stylized heart shape) or of the content analysis type, suggested by the studies of C. S. Hall. This is not because such studies are difficult to perform, simply that they have not been performed. In addition, there are no systematic studies of the development of children's conceptions of the heart, or of symbolic meanings that might attach at progressive developmental stages, in a Piagetian manner. Again, this type of study is feasible, and undoubtedly would prove fruitful; it simply has not been performed. However, in other areas of proof, and I use that word in the sense of confirmation rather than mathematical proof, previous psychoanalytic works, including my own, have provided a great deal of data.

In presenting the material in this chapter, it is simply unavoidable that I build upon material which I have previously published. In my article on heart symbolism I argued for two symbolic equations invoking the heart, heart=breast and heart=penis, and I presented a variety of material in support of the existence of these equations, including dynamic material, material from other case studies; literature; contemporary customs, rituals, and

expressions; customs and rituals from ancient Greece, ancient Egypt, and Aztec society; and artistic work from a variety of cultures, including the prehistoric (Reichbart, 1981). My purpose here is to present the argument for these equations in a more systematized form, and in addition to present new material for a number of equations which are not mentioned or only alluded to in the article. These newly presented equations include the heart=vagina, heart=glans penis, and heart=fetus, and also the heart=sun, heart=seed, heart=bird and heart=hand equations.

To begin with, it is helpful to stipulate the characteristics of the heart which lend itself to being a symbolic object. I say "to begin with" in the sense of presenting material in a cohesive manner, but in fact this reverses the order involved in the formation of the symbol. As Jung observes, a living symbol cannot be consciously formed, it has its wellsprings in the unconscious, and no amount of conscious contrivance can create a vital symbol. Similarly, the conscious naming now of the characteristics of the heart that render it a symbol, is done "after the fact." First, I became aware of the heart as a symbol in specific instances, and only then did I begin to think about what characteristics of the heart made it a symbol. As a consequence, I possessed dynamic rationales which helped in predictive and confirmatory ways to explain the heart symbolism. For instance, as a consequence of thinking about the characteristics of the heart, I was able to realize,

when I saw her for the first time, why it is that the cruel Aztec mother goddess, Coatlicue, has a traditional necklace of severed hands and hearts. Any theory stands in part on its predictive capacity and dynamic consistency, which is what in naming these characteristics, I hope to provide.

The characteristics I have found useful to isolate are as follows:

1) The heart is the most vital organ. In a traditional sense, its proper functioning is a sign of life and its failure to function a sign of death.

2) The heart is vulnerable to physical attack from outside the body, which when effectively executed, means the immediate collapse of the organism.

3) When the heart fatally malfunctions, the effects to the organism are immediate, dramatic, and usually unexpected at that moment.

4) The heart is associated with blood, because it pumps blood, and when the body is punctured near the heart, spurts blood.

5) Among internal organs, the heart is unique (perhaps along with the lungs) in the extent to which an individual can become aware of its functioning inside his or another person's body, without elaborate instrumentation. This is a consequence of one of the outstanding attributes of the heart: the heartbeat.

6) The heartbeat is a rhythmic entity.

7) The heartbeat is generally not within the conscious control of the individual (as to a limited extent is the function of breathing associated with the lungs).

8) The heart rate fluctuates in conjunction with various emotions, internal and external stimuli, and physical and sexual exertion.

9) The heart is situated beneath the left breast of the human being and beneath the breast of mammalians in general.

The attributes of the heart which I have just mentioned lend themselves to a number of concepts. One concept already alluded to, is that the heart is representative of life and death. It is frequently invoked in themes of resurrection, the wish for the heart to beat again, for an individual to live again. Even the rhythmic heartbeat, lends itself to this theme of presence, then absence, then presence again--and one cannot help but be reminded of the scene from the stereotypic melodrama in which everyone waits, with bated breath, to see whether the victim's heart will beat once again.

A second concept is a product of two characteristics of the heart: its apparent independence from a person's conscious wishes, and the fact that it reacts to certain stimuli. At moments of emotion, the heart appears as a result to be an independent entity. In particular, when a fear-provoking stimulus is present, the heart tends to exhibit tachycardia or arrhythmia; or to put it differently, a person becomes aware that his "heart is pounding." One

explanation of palpitation as a biological manifestation of fear, is that it is a consequence of conflicting desires in the face of danger: It is in other words the product of a "fight-flight" impasse. This type of impasse has been described by Miller and McLean as involving "an immediate urge to activity and at the same time fear of it." They list as common examples: "palpitation experienced upon receiving a rebuke from one's superior, taking an examination, going to a forbidden amatory rendezvous and the like " (Miller and McLean, 1941, p. 558). And they characterize these situations as ones in which "the individual is driven by his active, ambitious attitude into apparent danger which at the same time he feels an urge to avoid. His flight is blocked." In many of these situations, the danger is perceived as possible punishment by an authority figure, whether realistically present or incorporated within the individual's psychology. Thus, the concept which arises as a result of these elements is that heart palpitation acts as a sign of something which the individual desires to do which is punishable.

Another concept which arises from these characteristics is that the heart is an object hidden yet not hidden; it cannot be observed visually, without generally killing its possessor, and its presence is inferred rather than perceived. And yet, at times, it can be distinctly heard and felt. This theme of something significant being hidden visually but otherwise sensed, I did not initially realize

as being of such importance to heart symbology, but as will become apparent from the case studies and related cultural material, it is.

There are other concepts to which these attributes give rise, but they are more obvious than the ones I have named above or less pervasive or reguire additional dynamic material not yet explored. I will discuss them as they arise. In the following pages, I will go through each symbolic equation of the heart attempting to denote the concept that holds together the symbol with the referent; this requires showing the characteristics of the referent that also embody the concept. In addition, I will present the "evidence" for each equation from the various types of data discussed in the previous chapter. I have tried to make my discussion dynamic; or rather, the argument is such that it is impossible to do justice to it without making it a dynamic one.

Again, I must ask the reader to realize that what is here presented in a conscious and analytic sense, in no way represents the manner in which the discoveries concerning heart symbolism were made, either by me or by other analytic observers. Also, let me reiterate the fact that always symbol and referent are joined in a multideterminative manner. I have usually not indicated which, if any, of the determinants is most significant largely because I do not know. To the reader, some may appear more intuitively convincing than others. Lastly, the reader will become

aware that this process of classification is artificial in the sense that it is often impossible to isolate one symbolic equation from others. In myths, rites, or dreams, generally, symbolic equations will be intertwined, so that heart=penis, for example, will appear intertwined with heart=fetus or heart=sun. In speaking of one equation one is almost invariably obliged to bring in other equation whose threads are inextricably woven with the first.

1) The Heart-Penis Equation

1) Concepts:

The most important concept that unites heart and penis in a symbolic equation resides in the fact that both are ideal symbols for concepts of life and death, creation and resurrection. As an object, the penis attracts these ideas because of its apparently miraculous power to resurrect itself from a seemingly dead, and flaccid, state to a longer, larger, harder and more erect state. In addition, under these more seemingly alive conditions, it possesses the ability to ejaculate semen, only then to apparently "die" again. The process is miraculously renewable as well. Thus, it is no wonder that the spontaneous rising, orgasm, and descent of the penis has always impressed man, at least subconsciously, as a striking metaphor for the birth, growth, and death of animal or vegetable life. More poignantly, the penis is readily invoked as a symbol for human resurrection, for it appears to defy death. I stated "at least subconsciously" above, because the penis, unlike

the heart, is more likely to be subject to repression from consciousness: It is affectually, of the two objects, the more loaded one.

In addition, heart and penis share another quality, which give rise to the concept that both of them are entities independent of man's conscious volition and yet part of his anatomy at the same time: Both heart and penis function autonomously, often announcing themselves to their possessor, or to others, regardless of his attempt to control them consciously.

Third, and perhaps closer to consciousness, heart and penis share the concept of being creative aspects of man: The heart by pumping blood gives life to the body, and the penis, by its procreative power, gives life to another body.

Fourth, both heart and penis are associated with liquids from the body, the heart with blood, and the penis with urine and semen. Put differently, both "pump" liquid in the vernacular sense, issuing it forth in a stream; and the liquid in both cases may be looked upon as representing a vital aspect of the body.

Fifth, heart and penis exhibit simultaneous behavior when erotic stimuli affect the male organism. Erotically aroused, the human male experiences a heartrate increase and at the same time his penis becomes erect; at orgasm, his heart rate reaches a peak; and as his penis becomes flaccid, his heart rate decreases. Similarly, a female experiences a correspondence between her heartrate and sexual changes,

when aroused to orgasm by fantasied or actual penile stimulation. If conscious of vaginal sensations, she may report that they resemble a vaginal heartbeat (Masters and Johnson, 1966, pp. 174, 130, 136-137). In addition, for both male and female, the rhythmic beat established in intercourse or during masturbation, as well as pulsing ejaculatory sensation, may become associated to the rhythm of the heartbeat. And in erotic embrace, an individual may experience not only his own palpitations but these of his partner simultaneously with the erection of the penis. Thus, both heart and penis are ideal symbols for sexual interactions and sexual love. However, of the two objects, the penis is the more affectually ladened and thus more repressed. Perhaps no better evidence of this is that on St. Valentine's Day lovers have traditionally used the heart as a symbol of their love, but only in off color cards is there any allusion to the sexual nature of this love.

Sixth, in almost all cultures, the heart and penis share the qualities of being hidden, even if the hiding of the penis involves no more than a penis cap on an adult male in a primitive culture. The hiding of the penis, in part, is a testimony to the repression that takes place because the penis is such an affectually ladened organ of the human body. In addition, with both objects, there is a <u>partially</u> hidden quality to them; both can announce themselves--through erection in the case of the penis, or palpitation or sudden malfunction, in the case of the heart.

Seventh involves a characteristic of the heart which I have noted as particularly important, namely its tendency to produce palpitations as a product of the "fight-flight" impasse. A classic one of these impasses, mentioned by Miller and McLean, is the forbidden amatory rendezvous, or for that matter the thought of such a rendezvous, and the penis is a part of the body intimately involved in such activities. It is the forbidden nature of these actions that I wish to stress, for the anticipated punishment for violation of a sexual rule or custom is what makes the heart palpitate under these circumstances.

In addition, many actions are forbidden in cultures, murder most obviously, and murderous thoughts inspired by revenge or aggression. These too can give rise to palpitations. Thus, it should be clear that Oedipal situations, in which sexual wishes and murderous thoughts combine, are ideal events for the establishments of the heart=penis equation. Put differently, palpitations are likely to occur in the Oedipal situation, where there are, at least subconsciously, castrative thoughts toward one's father.

In fact, in general in patriarchal cultures, fear is engendered by the authority figure of the father and societal rules are associated to him. One outstanding attribute of the father is the phallus. Thus, there arises a conjunction of the sensation of palpitation and the wish to violate a phallically associated rule, giving rise to the

heart=penis equation. I hope to illustrate in this dissertation, the terrific power of this fear of societally related retribution, as it ties together the two objects, heart and penis.

2) Evidence:

The evidence for the existence of the heart=penis equation is exceptionally strong, and this equation is the most frequently mentioned heart symbolic equation in the psychoanalytic literature. Frequently, however, a distinction is not made between the heart=penis and heart=vagina equation, and psychoanalytic writers speak of a heart-genital equation instead. This is partly understandable because the heart penis equation invariably arises as a consequence of castration anxiety, and thus tends to be associated with the non-phallic, that is metaphorically castrated, entity of the vagina.

In my article on the heart-penis equation, (Reichbart, 1981), I discussed the psychoanalytic cases in which the equation had been observed. Rather than paraphrase my former discussion, I have decided to quote parts of it in full. In addition, I will make some comments about the standards of proof that these writers convey to the reader. The first case I found that deals with the heart-penis equation was presented in 1930 by Jennie Walder Hall to the Vienna Psychoanalytic Society, although it was not reported in full until 1947 (Hall, 1947):

> It is a fascinating study of the psychoanalytic treatment of pavor nocturnus, or night terror, in a

> seven-year-old boy named Anton. One of the distinguishing features of night terror is that the heart rate of the subject rises to 160 to 170 beats per minute within 15 to 30 seconds after onset, representing "one of the greatest, most precipitous accelerations of heart action possible in man" [Fisher, Kahn, Edwards and Davis, 1973, p. 92]. During his treatment, Anton repeatedly expressed his castration anxiety in terms of his heart. For example, he equated a heart operation which he hoped would be performed on an adult patient whom he took for a rival with the loss of the penis and, in revealing his fear that his masturbatory activities would result in castration, he made a slip by introducing himself as "Mrs. Anton" whereupon he added, immediately after, "My heart is aching" [Hall, 1947, p. 215]. Eventually the source of his obsession with the heart-penis equation became clear. Over a period of time he had played a sexual exploration game with a group of children and one day the children were almost caught at the game. They were frightened and their hearts beat violently: "Anton noticed the heart pounding of one of his playmates who was very thin. Anton knew that he also got palpitations when he was sexually excited. His father's words 'Such games are bad for your health," gave him the idea that the palpitations must be a manifestation of a heart disease caused by sexual games" [Hall, 1947, p. 219]. This concept was reinforced by the fact that female members of Anton's family, those without penises, had heart conditions: His baby sister had died of a congenital defect, and his mother had a nervous heart condition. In other words, Anton equated heart with penis and injury to the heart with loss of the penis, tied into the belief that transgression of his father's restriction on sexual play would result in injury to heart and penis. Thus, for Anton, his night terror represented a heart-related punishment for his sexual transgression. (p. 79)

I only summarized here part of the evidence so ably recounted by Hall. What is particularly useful about Hall's discussion is that she explains the "process" as well as the symbolism. Thus, she notes that her initial attempt to follow up on the slip that Anton made when he said "Here is Mrs. Anton" and then "My heart is aching" was rebuffed. But --at another point--not involving heart symbolism per se, she was able to follow up on a slip he made when he said "I

do not know [something] because I am not a boy." With this, she began a discussion of sex, from which emerged Anton's previously suppressed information about the forbidden childhood games he played; and then (as if coming full circle) he talked of how his heart and that of his playmate beat violently when they became fearful they would be discovered.

Anton's misunderstandings about the meaning of heart disease and palpitations were cleared up with interpretations. Let me quote Hall (1947) herself, because she makes a point concerning the timing and the form of these interpretations:

> He was informed that palpitations occur after any kind of excitement and so with sexual excitement, but that this is no sign of heart disease. His connection of heart with genitals was explained to him, and he was told that his sister's heart defect had been a pure coincidence from which he had drawn wrong conclusions. Finally it was explained to him that his own heart symptoms were really self-punishment. Of course these interpretations were not made all at once; they were given from time to time at points where explanation was needed and always in a form which he could understand [Hall, 1947, p. 220].

Thus all in all, Hall's evidence for the accuracy of the heart=penis equation rests on these standards: 1) the dynamic consistency of the equation in the context of treatment; 2) the new information revealed after interpreting the equation and the patients increased openness; and 3) most impressively, the eventual disappearance of the night terror symptoms!

In 1945, Otto Fenichel reported on a case of cardiac neurosis in which the heart-penis equation figured

prominently (Fenichel, 1945). I previously summarized this case as follows (Reichbart, 1981):

> The patient suffered from attacks of pseudo angina pectoris, which began when, soon after the death of his mother, he learned that his father had become seriously ill with heart disease. The patient was an infantile narcissistic personality dependent on his parents and, when faced with the prospect of living entirely alone, he transferred his overwhelming anxiety about his father's condition into a pseudo heart condition of his own. The result was that the patient became obsessed with his own heart, feared that it would "abandon" him in the same manner as his father now threatened to do by dying, and constantly cursed it. In other words, the patient established an unconscious equation of heart equals introjected father. This same patient related that the continual palpitation of his heart was accompanied by the feeling that his heart was getting larger and larger, that his whole chest was becoming more and more tense, up to a certain unbearable point, and then that the whole process would stop, the palpitation would cease, and his heart would "shrink" again. As Fenichel points out, these sensations represent an increasing erection which finally ends with orgasm, or the "genitalization" of the heart: The heart has become a symbolic penis [Fenichel, 1945, pp. 219-220, 263-264]. (pp. 79-80)

Fenichel notes that after he made a heart=penis interpretation to this patient, the patient returned to treatment a few days later saying that he felt as if his heart was "breaking open in order to take something in." Fenichel thinks of this as a symptom of the heart=vagina equation. The change in the patients symptom as a consequence of an interpretation impliedly provides evidence for the validity of the heart=penis equation, as part of a bisexual genitalization of the heart. Fenichel combines this data with the general dynamic consistency of his hypothesis to make his case.

In 1958, Schneck reported on an interesting example of the heart as phallic symbol during the hypnoanalysis of a thirty-three year old, overtly homosexual male. I previously summarized this case as follows (Reichbart, 1981):

> The patient had always been concerned about his heart and had always worried that it might be organically damaged. During a hypnoanalytic session, he reported a nocturnal dream in which a friend manipulated a vibratory apparatus for scalp massage on him for the purpose of sexual excitation, then his friend turned into his mother who applied the vibrator to his chest. As he recalled the dream under hypnosis, with its sensorimotor accompaniments, he writhed uncomfortably, groaned and complained of pain. He immediately associated penis with heart, basing this association on his conception of the heart's anatomical appearance as he recalled it from childhood when fowl were eviscerated by his mother during food preparation. His mother had been a castrative woman, constantly threatening him with cutting off his penis if he continued to play with it. After the patient recounted the dream and recognized the heart=penis equation, he no longer exhibited anxiety about his heart. Here is an instance in which a heart-related self punishment apparently resulted from the individual engaging in forbidden masturbatory activity. (p. 80)

The standard used by Schneck--and a most convincing one--is the sudden remission in the patient's anxiety about his heart as a consequence of the revelation of the heart=penis equation and the now affectually complete early memory of the patient's of his mother eviscerating fowl. It would appear that the patient's heart neurotic symptom had its genesis in this early heart related event, in which he might have thought something like this: "Look how my mother removes the fowl's heart, just as she threatens to remove my penis. I am scared. Maybe she will remove my heart, rather than my penis," and then this last thought appears (of his

two impossible choices) the preferable one. However, to even contemplate this substitution, there must exist an innate predisposition to a heart=penis equation.

Frequently, patient's undergoing heart surgery or medical treatment for organic heart conditions compare the heart with the penis. For example, a patient undergoing mitral surgery, described the operation as touching "the most delicate thing a man has" and thought of the operation as an example of demasculization (Fox, Rizzo, and Gifford, 1954). One of the frequent concerns of heart patients after surgery or heart attack is whether the exertion of sexual intercourse is likely to further damage the heart.

The psychoanalyst Daniel Schneider was the first to attempt to explore heart symbolism in its breadth, rather than one or two isolated cases. His book The Image of The Heart (Schneider, 1956) contains numerous instances of the heart=penis equation, as well as heart=fetus, heart=small leaping animal, heart=clock and heart=hour-glass. These equations often combine with heart=penis in the same manner as if A equals B and C equals B then A equals B equals C.

Schneider is not as clear in reporting the process of therapy as he is in reporting the symbolism. As standards of proof, he relies principally on dynamic consistency, and the implied eventual cure of patients, but he does not weave the symbolic interpretations into the process of the cure in his recounting of the therapy. Nevertheless, his examples are profuse and vivid. A particularly convincing

heart=penis equation occurs when a patient dreams of a bullfrog that was "throbbing and thrashing around" in his groin (and has a sexual emission) the evening after a severe burst of tachycardia. The symbolic equation that emerges from this dream, as a consequence of the patient's associations to his fantasy of having a "bull-penis" is heart=penis=small leaping animal (Schneider, 1956, pp. 39-40). In another example, a patient--a 40 year old physician with a heart ailment who was a musician--dreamt of a church organ resembling the actual heart in shape which fell apart as he played it; the equation heart=organ=penis was apparent (Schneider, 1956, p. 86).

In my previous article, I also discussed a number of dramatic cultural examples of the heart=penis equation, taken from ancient Egyptian and Aztec rites and myths (Reichbart, 1981). I refer the reader to the article for a full explication. Here I will summarize these rites and include graphic illustration of them in the Appendix which I previously have not done. The ancient Egyptians worshipped the phallic and resurrective sun god Osiris, with whom each individual who died was identified, in the hope of resurrecting as well. The individual's heart (which was accorded separate burial in a funerary "Canopic" jar) represented his soul, and was crucial to the resurrective myth. In the myth, "psychostasia" or "weighing of the soul," the heart was supposely weighed in a balance, in a great hall called The Hall of Double Law or the Hall of

Truth, against a feather which symbolized truth. Here, the heart also testified for or against the deceased, as it was thought to know all of the deceased's deeds during his lifetime. Often the myth had the deceased implore his heart not to testify against him. If the heart did so, or if the balance indicated that the heart did not exactly equal truth in weight, the deceased would be summarily consumed by a waiting monster, "The Devourer of the Unjustified" (Budge, 1967) (See Figure 2). On the other hand, the deceased whose heart equaled truth in weight, was ushered before Osiris, the final judge, who gave him immortality.

It should be noted that the heart in this myth identified with the phallic god Osiris, takes the form of an omniscient and judgmental father. As Brandon (1969) observes:

> The heart was regarded by the Egyptians not only as a vital organ, but also as a conscious entity that could act independently of, and sometimes against, its owner. It was referred to as 'god in man' and it was hypostatized as a moral censor of the individual in a manner far more realistic than that which informs the Christian concept of the 'voice of conscience. (p. 91)

Drawing this analogy further, the heart speaks through the heartbeat; and the heartbeat has been transformed to an internalized voice of a judgmental father. It is but a short psychodynamic step to the concept of the heart as the internalized father's phallus--a concept that merges with that of the superego. It should be noted, in fact, that in the twelfth century, the Egyptian myth of psychostasia was borrowed by Christianity in the use of the balance to weigh

the soul (Brandon, 1969). (See Figure 3, a medieval illustration in which the devil has replaced the figure of the "Devourer of the Unjustified.") For that matter, the symbol of justice in contemporary Western jurisprudence, a blindfolded female holding a balance in one hand, derives from this same historical pattern although the heart has been dropped from the imagery. And another analogy from Western culture, separate heart burial was a popular custom in European society beginning in the 12th century and was not discontinued until the beginning of this century. (Bradford, 1933).

The Aztec rites to which I referred in my article (Reichbart, 1981) also graphically invoked the heart=penis equation. In these rites, the sacrificial victim was identified with the phallic sun god. The still beating heart was ripped from the victims chest, at the moment symbolic of the sun being highest in the sky, and offered as food to the gods. The whole sacrificial act was a gruesome parody of orgasm. At the same time, it represented a graphic "pledge of the heart."

Similarly, as I indicated in my article, contemporary pledges of the heart, including Saint Valentine's Day (1), imply the same dynamics. If the pledgor does not fulfill his pledge, his heart is to be sacrificed. In some instances, the heart=penis equation becomes explicitly involved in these dynamics. Thus, circumcision--a sign of a covenant between man and god--is referred to in the Bible as

"circumcision of the heart." In fact, Saint Paul, the renegade and presumably circumcized Jew who became the first organizer of Christianity, seized on the idea of heart circumcision, hoping to create an inducement to early Gentiles to join his sect without having to under go ritualistic surgery; or as he stated "circumcision is that of the heart, in the Spirit, and not in the letter" (Holy Bible, Romans 22:9). In some instances in the Bible, the imagery became so graphic that the phrase "foreskin" of the heart appears (Holy Bible, Deuteronomy 10:16, Jeremiah 4:4).

Heart=Glans Penis

This last point permits me an ideal opportunity to introduce another, related equation: the heart=glans penis equation. The psychoanalytically sophisticated reader may react by relegating this equation to a subcategory of the heart=penis equation--which in a sense it is--but I would argue that there is a pronounced tendency in the literature to block out the glans penis as an entity in itself, just as psychoanalytic writers have tended to block out the nipple, subsuming it under the larger term of the breast (Bradley, 1973). No more striking example of this "scotoma" is available than the extent to which the glans has been ignored in the psychoanalytic literature concerning the custom of circumcision. Before discussing the concepts that unite heart and glans penis symbolically, I wish to review this rite to counter the tendency which persists against consideration of the glans.

Circumcision is an act of sacrifice, which by the very definition of the term means that a part is sacrificed for the whole. In this instance, the foreskin is sacrificed for the entire penis. Traditionally, this act has been performed at puberty and represents a rite of passage of the boy into manhood. The foreskin of the boy is taken as a pledge that he will suppress his genital desire for the mother, that is refrain from incestuous intercourse with her, for which he is permitted entrance into the society of the father. Of course, by implication, should he fail to abide by this agreement, the pledge will be called in: He will be castrated by the father. Primitive peoples (or for that matter "civilized" peoples) are not analytic about the meaning of their rites; but the abrupt and total isolation of the neophyte from the company of the mother, the often-terrifying circumcision rite itself in which the young boy is confronted by the tribal gods, who are in fact the fathers in disguise, the rebirth imagery inherent in most of these rites, and the ceremonial ending of such rites in which the fathers are revealed behind the masks and the neophyte is welcomed into manhood--all of these things suggest the Oedipal prohibition which lies behind the rites.

In general, then, the psychoanalytic focus has been upon the foreskin, the castration wish, and the substitution of a part (the foreskin) for the whole (the penis) which is apparent in the rite. Some commentators have also suggested that the foreskin symbolizes the maternal womb from which

the glans is liberated in a ceremony of passage from boyhood to manhood. But the significance of the permanent exposure of the glans penis as a result of the circumcision rite has been largely ignored. Prior to circumcision, the glans penis generally was not exposed except, significantly, at times of erection of the penis. But, after circumcision, as Nunberg (1949), one of the few commentators who has discussed the issue, points out, "a new penis is born which looks like a phallus in erection with retracted foreskin" (or to put it in the blatant and revealing terms of a contemporary urologist, "circumcision is a beautification comparable to rhinoplasty" and the circumcised penis "appears in its flaccid state as an erect uncircumcised organ--a beautiful instrument of precise intent" (Goodwin quoted in Kaufman, 1967, p. 8). In other words, the initiation rite creates what resembles a magically permanent erection as a sign of manhood. This creation represents a classic compromise formation: on one hand, there is the wish to cut off the penis entirely as punishment for the boy's incestuous desires toward the mother; on the other hand, there is the need to deny this castration wish by creating a permanently erect penis.

As might be expected, the ambivalence inherent in the act of circumcision continues to be manifested in other ways after the completion of the act. I am referring to the wearing of a penis cap or covering, often presented as a symbol of manhood to the neophyte in primitive tribes upon

completion of the circumcision rite. In part, this covering gives primitive man conscious control over the exposure of his glans penis in contrast to his boyhood state in which exposure of the glans would result from uncontrollable desire, the particular uncontrollable desire of concern to the society being that directed toward the mother; in this sense, the bestowal of the penis covering symbolizes entrance into the more controlled state of manhood. In addition, while this covering partially or fully obscures the penis from view, it succeeds at the same time in drawing attention to the penis (Harnik, 1932). For example, in restitution for the foreskin loss, certain New Guinea tribes attach to the glans penis long thin gourds and thereby create magical, impossibly large erections.

If there remains any doubt concerning the significance of the glans penis, that doubt should be removed by the interesting fact that some tribes practice cynodesme, or infibulation, closing the foreskin with sutures, rather than circumcision. Harnik (1932) cites Friederici's description of cynodesme as follows:

> "Whereas some of the Polynesians, among them some of the Tuamotu, practiced incision; that is to say, laid bare the glans, others among the Tuamotu practiced cynodesme, and were extremely ashamed and fearful of letting the glans be seen . . . . The cynodesme, a fine thread, was tied about the prepuce, which had been pulled forward over the glans like a sausage end, and then tried to the belt so that the penis was elevated. . . .
>
> "The highly curious practice of cynodesme is not limited to the South Sea region. It is also to be found among the inhabitants of the land along the Strait of Magellan, among the island Caribs, among the

Mayonnas of the upper Amazon, among the Chichimecs of Jalisco, and among the antique Etruscans and Hellenes."

In other words, this variation upon the same Oedipal dynamics which gave rise to the circumcision rite represents another instance in which the boy's passage into manhood is marked by a newly imposed societal and conscious control over the exposure of the glans penis, and by a compromise castration formation not unlike that of circumcision. That is, on one hand, the glans penis is artificially covered through cynodesme as it would be if it were in a magically-permanent flaccid and impotent state; and on the other hand, the penis is artificially elevated (by tying it to the belt) as it would be if it were in a state of magically-permanent erection.

The reader may wonder what is the relationship of past circumcision rites to contemporary routine neonatal circumcision. I have explored this elsewhere (Reichbart, 1979). Suffice it to say, that the bulk of medical opinion states that there is no medical justification to neonatal circumcision (in England, it is not practiced at all). Behind the neonatal timing of the custom--and alleged reasons for it--appear to lie two subconscious wishes: the wish to punish the infant for the physical disfigurement and pain he has caused during pregnancy and birth as well as his interference with sexual access of the father to the mother; and the wish to avoid the anxiety that arises when the mother must repeatedly handle her son's uncircumcised penis to insure its cleanliness. Put differently, contemporary

routine neonatal circumcision is the civilized version of the primitive rite.

1) Concepts

To return to the heart=glans penis equation. The unique concepts that adhere to the glans penis and render the heart symbolic of it, are:

1) It is hidden beneath the skin (as is the heart).

2) It announces itself, and does so as a consequence of factors beyond man's control, by appearing as a consequence of sexual desire, just as the heart uncontrollably "announces" itself from within the body through palpitations.

3) It is at the very tip of the penis, and is thus associated with the aggressive point of a weapon that enters the body. The most lethal place for entrance would be into the heart, beneath the left breast. This aspect of the heart=glans penis equation tends to combine with the heart=vagina equation and with the heart=breast equation. In the latter instance, oral motifs predominate.

2) Evidence

I can find no psychoanalytic cases that establish the heart=glans penis equation, although I suggest its application in two of the cases in which I acted as therapist. However, the cultural examples are numerous. Here, I will mention a number:

A) The gruesome rituals of the Aztecs, in which the heart is ripped out of the body of the sacrificial victim at

the climatic moment can be seen as analogous to the emergence of the glans penis from the foreskin, an emergence now under ritual and conscious control. Confirmation of this hypothesis appears from the fact that the Aztecs had another religious rite which reveals an obsession with the human skin as foreskin or cloak: After the heart had been ripped out of the body of the victim of the sun-knight ceremony, the body was flayed; then the skin from the victim's thigh was made into a mask and worn by a participant to the rites. This symbolized the birth of the corn-god son Xipe, but it also suggests the glans or "head" within the foreskin.

B) Invariably, the heart is associated in cultural motifs with arrows or lances or other weapons. Sometimes, the aggressive phallic desires are thinly sublimated as in the Cupid myth. Equally, invariably, the tip of the weapon the entering point, becomes symbolic of the vital spot, the heart itself, in a symbolic melding of aggressor and victim. For example, in heraldry devises in the Middle Ages, the triangular arrowhead was often replaced by a heart shaped one (Bayley, 1951). Similarly, the javelin of Dionysus--the Greek phallic God associated with the heart--was topped with a pine cone which was a symbol of the heart (Wellmann, 1896). Frequently, in contemporary greeting cards, one will see the stylized heart shape as an arrow point.

One step removed: The glans is referred to as the "head" of the penis, and often in clinical cases, there is

displacement upward from the more affectually loaded glans to the head. Similarly, the heart is displaced upward to the head. For example, the Egyptian phallic god Khepera, the "father of the gods" had a head which was the heart scarab. In a similar manner, the glans is thought of as the "fruit" of the phallus, glans being the Latin for acorn, both because of a physical resemblance and because it appears on the erect phallus. The heart, too, is frequently conceptualized as the seed-filled fruit of the body (see the heart=seed equation below). Indeed, as indicated in Chapter Five, the ancient Egyptians symbolized the heart as persea fruit, and the Greek's as a pine cone. For that matter, the interesting custom of carving a heart on a tree with the initials of two lovers suggests as one of its determinants, the magical and symbolic creation of an eternally erect phallus with glans showing, as representative of eternal love.

The Heart=Vagina Equation

1) Concepts:

The heart can be a symbol for the vagina for a number of reasons. Perhaps most importantly, the heart and the vagina are associated with blood; the vagina because of menstruation and the heart because it pumps blood. Blood is a sign closely associated with death and aggression; thus, heart and vagina are considered vital as well as deadly aspects of the human body.

In addition, and related, the heart is within the interior of the body, and gives forth its blood as the consequence of a puncture wound, by a long sharp weapon, such as a knife, or by a bullet. The vagina is an opening into the interior of the body, and it too is subject to the intrusion of a long foreign body which "shoots" semen, namely the penis. Thus, the heart is a vaginal symbol by virtue of the concept of intercourse as an aggressive act, and the penis as a penetrating weapon.

Third, and also related, the vagina subconsciously is often thought of as the product of a mutilation; the thought is that originally a penis must have been present, but it was cut off. That is, the concept of castration applies to the vagina; or put differently, the vagina <u>is</u> the castrated penis. The heart, so readily a phallic symbol, can as easily become the symbol of the vagina as a consequence, particularly when some injury is done to it, either actually or in imagination.

In addition, a number of sexual characteristics of the vagina, as in the case of the penis, lend themselves to a conceptual association with the heart. These include the following, which can be recognized from our previous discussion.

Sexual excitement as registered in changes to the vagina and the clitoris, reaching to orgasm and release of tension, correspond to a dramatic increase in heart rate, and then the heart rate gradually subsides. Sometimes at

orgasm, women report that they experience a pulsing sensation in the vagina, which they associate to a heart beat (Masters and Johnson, 1966). Palpitations too can occur in amatory situations or in anticipation of such situations, at the same time as stimulating vaginal sensations take place. Also, such palpitations may take place when the female anticipates, either consciously or subconsciously, punishment for the violation of a societal, and self-incorporated rule concerning appropriate sexual behavior, that is behavior associated with the vagina. Further, the rhythmic activity involved in intercourse or masturbation of the vagina may become associated to the rhythmic beat of the heart.

2) Evidence:

Psychoanlaytic case reports of the heart=vagina equation are numerous. The reader may recall that Fenichel's cardiac neurotic patient exhibited symptoms which initially suggested the heart-penis equation, and then--after the symtoms were interpreted--returned with new symptoms suggesting the heart=vagina equation (Fenichel, 1945, p. 220). Arlow (1945) reports the heart=vagina equation in a 45 year old woman who developed psychotic depression several days post commisurotomy and evidently thought of the cardiac operation as the removal of her last vestige of femininity.

A number of psychoanalytic writers refer to a heart=genital equation. Thus Hall (1947) tends to use this

term in her study of Anton, the child with night terrors; and Schneider speaks of a "fused heart-genital image" (Schneider, 1956, p. 39). It is natural in instances of the heart-penis equation, which are almost invariably accompanied by castration anxiety, that the heart-vagina equation also appears.

Barchilon (1964) reports on a fascinating example of the heart=vagina equation in a study of a two year evolution in the drawings of a normal girl, beginning when she was four years old, shortly after she had been asked by an older boy to touch his exposed penis. I have discussed this case in more depth, and included reproductions of the drawings (See Figure 31) in the context of the child case in Chapter Six. In addition, the stylized heart shape as a vaginal symbol in contemporary and prehistoric drawings is discussed in the next chapter.

Examples of aggressive symbolic ideas concerning the act of intercourse, in which heart and vagina are equated, are frequent. In the Aztec sacrificial rites, when at the ultimate moment, the sacred flint knife enters the chest of the sacrificial victim, one sees a parody of sexual intercouse in which the heart=vagina equation is apparent. Similarly, in the contemporary movie "Looking for Mr. Goodbar," the heroine is killed by being stabbed in the heart by her lover in the midst of intercouse with him. (The effect of this movie on an adult patient is discussed in Chapter Six.) A female patient consciously fascinated by

this movie found herself unable to resist returning to a boyfriend with a history of brutality whom she associated with the movie, even when (or perhaps because) he in a fit of fury stabbed an expensive dress she had left with him (Hull, case presentation, 1982). In the 17th century play "'Tis Pity She's a Whore" by John Ford, the equation heart=vagina is manifest in the openly incestuous relationship between the hero Giovanni and his sister Annabella. Thus, at the final scene, Giovanni--having stabbed his sister as he kisses her--arrives in a banquet hall, holding her heart aloft on his dagger point in his final act of defiance, and talks of how "this dagger point plough'd up" her womb (Ford, 1966, p. 95). Less concretely, the English poetic expression for intercourse and the climactic moment of organism is the moment of "dying".

The Heart=Breast Equation

I have dealt with the heart=breast equation in my previous article, to which I refer the reader for greater detail (Reichbart, 1981). Here I will summarize my argument, add more concepts and examples of evidence, and supplement the material with illustrations not previously included.

1) Concepts:

The heart=breast equation is very multidetermined as might be expected with an object so affectually loaded and so variously functional as the human, or more pertinently, the mother's breast. The breast is an object which

symbolizes a constellation of characteristics of the mother: her bodily warmth and tactile comfort; her ability to nourish, physically support, and sooth the infant; her feminine identity.

The heart becomes a symbol of the mother's breast for a variety of reasons, as follows:

a) The heart of the mother is in close physical proximity to her breast, which leads to the association of these two objects.

b) This association is furthered by the fact that the attribute of the heart, the heartbeat, is felt and audible beneath the mothers: breast.

c) In addition, when the child is held close to his mother, he can feel his <u>own</u> heartbeat reflected <u>back</u> to him. In times of fear, he may learn that his own palpitations are reduced as a consequence of being comforted as he is held to his mothers' breast. At times of frustration, he may learn that not only are his cries reduced but his sensation of an elevated heart rate is reduced when he becomes calm by sucking on the breast, or sucks from a bottle as he is held to the breast.

These juxapositions of heart and breast suggest the following argument: For the infant, the heart beat begins <u>not</u> as an attribute of the heart (which is after all a concept far beyond the infants understanding) but as an

attribute of the breast, his own and his mother's, and as a sensation melded to his developing sense of his mother.

Of course, even this statement is a "sophisticated" one, in the sense that initially the child will not connect the sensation of his own heartbeat, that is his palpitations, and his mother's heartbeat. He will spend a great deal of time making physical analogies, such as pointing to his own nipple and then to his mother's or father's, before he is able to make an analogy about something as complicated as the sensation of a heartbeat, within himself, and felt on his mother's body. Nonetheless, I would contend that associatively the sensations, whether internally or externally perceived, become melded to the mother's breast.

Only later, in the process of differentiating objects and events, and learning about the concept of a hidden object, will the heart become a conceptional entity for the child. It might be noted how intrigued the child will then be about an object which he can feel and hear but cannot see. It is at these later stages that other attributes of the heart came into play, built upon the initial melding of heart and mother's breast, to strengthen the heart=breast equation. These attributes are:

1) The heart and breast are both symbols for concepts of life, death, and creation. The breast represents the mother, who controls human life and brings it forth into the world. The breast also is associated with maintaining human life, through its nourishing milk or milk given while the

infant is held to it, and through tactile comfort. When the maternal breast, as representative of the mother, is denied or departs, the infant or child seeking it experiences frustration and eventually depression. A crucial portion of his instinctual satisfaction and his developing object world is gone. From these experiences, he learns the concept of departure and--eventually--permanent departure or death. Similarly, the yearning for return from departure eventually becomes the more sophistiated concept of magical return from death or resurrection.

Throughout many cultures, it should be noted, the mother is represented as a death figure; and burial chambers or mounds are frequently breast shaped. We have expressions in contemporary culture to indicate the associate of the mother with death, such as "returning to Mother Earth," and monuments in which we bury the dead frequently have circular shapes or rotundas that suggest the breast.

2) The heart is the associated with orality, as is of course the breast, for two reasons:

a) It throbs within the body as if it were a swallowed and living organism. It is common, for example, for children to confuse the heart with the stomach.

b) Animal meat, which in itself is associated with the breast because of the infant's wish to bite or consume the mother's breast, is also associated with the heart. This comes about because the crucial spot in game animals which man seeks to pierce to obtain meat for oral

incorporation and nourishment is the heart. Since prehistoric times man has to produced at various times and places "x-ray drawings" in connection with his hunting rituals which show the interior of the game animal's body, especially the heart, as if depicting this organ will magically insure the death of the animal (Pericot-Garcia, Galloway, and Lommel, 1967, p. 259). These x-ray drawing, incidentally, confuse heart with stomach in the same way as do children by fashioning what anthropologist's call a "life-line" descending directly from the month to a roundish, oblong or triangular heart.

In addition, regardless of how an animal is killed , its death typically is a prerequisite to its oral consumption, and death is signaled by the animal's heart ceasing to beat. In other words, the symbolic joining of heart with the child's first source of nourishment, the breast, becomes further elaborated (and in a manner more manifestly aggressively) with man's killing of an animal and consumption of its flesh.

Evidence

The only clinical example of the heart=breast equation that I have found is by Rorschach, who published an article in 1912 which in translation is entitled "Clock and Time in the Life of the Neurotic." Rorschach introduces his case by pointing by pointing out the "well-known symbolism of heart-watch" (1912, p. 607). He suggests that, as indicated by the fact that some people cannot fall asleep unless a

clock is ticking in their bedrooms, the "heart beat is the first lullaby of the child" (1917, p. 607); and he mentions a child saying to his mother, "Mamma, you have a watch in your stomach." His clinical example involves a twenty four year old neurotic man, both fascinated by watches and women's breasts. As an infant, he had been breast fed by his mother, who except at such feedings, ignored him, leaving him with a baby sitter. At one year, he was abruptly weaned, as a consequence of his starting to bite her breast. At four, he had the impulse to chew watches, and experienced great pleasure when he chewed up his mother's watch. In early youth, he had many fantasies of squeezing and pinching women's breasts. Although Rorschach is careful to state that "one cannot be absolutely sure of the equation heart-breast-watch," (1917, p. 607) he believes it is strongly suggested by the data.

It <u>is</u> curious that the heart=breast equation has not been more often reported in the clinical literature. I cannot think why this should be, except to wonder whether there is some cultural bias appearing in psychoanalytic writing, perhaps a product of the same factors that give rise to heart ailments being more prevalent in males than females in our culture, and some culturally determined need to think of the heart as an organ <u>independent</u> of the mother. Psychoanalytic writers, as much as they may like to be, are not immune from such cultural bias. The omission of the

heart=breast equation is glaring in light of the frequent cultural examples of the equation.

The cultural examples are both historical and contemporary. In ancient Egyptian culture the heart scarab was addressed as "My heart, my mother! My heart, my mother! My heart whereby I came into being" (Budge, 1967, p. 258). The Book of the Dead instruction concerning the burial rites was "And behold, those shalt make a scarab of greenstone, with a rim of gold, and it shall perform for [the deceased] the 'Opening of the Mouth'" (Budge, 1967, p. 258). In this ceremony, the eyes, nose, ears and mouth of the mummy or a statue of the deceased were touched as the priest said "I open they mouth with the "Great Magician" wherewith the mouth of every god is opened" (James, 1957, p. 113). Put psychodynamically, the deceased gained the eternal life of the gods, by a ceremony in which he became magically and permanently attached to the mother's heart-breast.

Similarly, Aztecs placed in the mouth of their dead a greenstone to take the place of the heart, called the "Heart of Jade" (von Hagen, 1961, pp. 115-116). This stone was in the nature of a pledge which the soul of the deceased deposited when he came to the realm of the Lord of the Dead. In other words, in the Aztec culture also, the heart was a magical organ to be sucked, very much in the nature of a mother's breast, which would ensure safe passage and ease the separation from life.

In contemporary culture, the heart is frequently a breast symbol. Saint Valentine's Day is a custom in which heart-breast symbology is rife. Heart shaped candies are consumed; and heart shaped boxes of candy are given as presents. Individuals "exchange hearts" in cards; and heart shapes, which abound throughout the year on clothes, in advertisements, in all types of accessories, and so on, are even more prevalent. The heart is a "magic" symbol, consciously representing "love," but unconsciously associated with that first object of instinctual need, the mother's breast. I will pursue this issue considerably further in Chapter Five.

The Heart=Fetus Equation:

1) Concepts:

The basis for this symbolic equation is probaby more apparent to the reader than some of the others discussed. The fetus is an entity which is semi-dependent within the mother's body; it indicates its independence by movements and by an independent heart beat. Similarly, the heart in general is an entity within the body which beats and is not under man's conscious control.

In addition, the fetus has attached to it an oral component, at least subconsciously. Childhood and mythological beliefs are that the fetus is formed by a process of oral incorporation or oral impregnation. In the same manner, the heart is subconsciously often equated with an orally incorporated entity.

2) Evidence:

This equation is clinically reported, in quite a few cases. To give some examples:

A) A 34 year old woman, after the birth of her third child, went through a five-month period of apparent psychosis, from which she then emerged. During that time, she felt as if she were in the "coldness of death", and was convinced she was dying:

> She was unable to care for her new baby or her other children. She felt "absolutely and completely emotionless" and things seemed small and far away "as though seen through the wrong end of a telescope." As she emerged from this state, she had numerous 'flashes' when she emerged briefly from what she called the 'tapestry of symbols' in which her whole body was enveloped. Thus she had a sudden 'realisation' as she lay awake at night anxiously listening for her own heartbeat, that her heart was a foetus, whose heart was beating faintly and rapidly. (Laing, 1971, pp. 69, 73-74)

This woman had also become convinced that her heart had stopped beating when she thought her baby dead. In this case, the report was entirely made by the psychotic patient after recovery without any interpretation by the therapist.

B) An hysterical young woman, had been fascinated during her pregnancy with the concept that there were now two hearts beating within her. She began to be afraid of "going crazy" during the pregnancy; and afraid that her heart would stop. She had been enuretic during childhood, and now became worried that she would not be able to keep her urine in, for both herself and her baby. She worried too about "expelling the new heart." It became clear that the common denominator was her fear that she would lose control

just as she had lost control of her urination as a child. "Going crazy" was equated with uncontrollable urination; and not having a male sex organ subconsciously signified to this woman that "everything fell out of you" (Schneider, 1956, p. 89). Apparently, the heart signified the fetus not only because of its similarity in being a small entity within the body, but because her fear was that it too was out of her control.

C) A young married woman had a dream in which she reported a kitten jumping into a shoe box. She stated: " I feel the frightened kitten beating in and against the sides of the box." Analysis revealed that the kitten signified heart and fetus (Schneider, 1956, p. 38). The analyst was able to correctly predict that she was pregnant on the basis of the dream.

D) A 30 year old pregnant woman, suffered an attack of paroxysmal auricular tachycardia, when she was in the theater. The attack apparently came as the lights dimmed just after she had been reminded by a name on the program of a male friend with whom she used to surreptitiously masturbate as a child. At the point that a girl on the stage shot an arrow at a male actor, her heart "flipped". Analysis revealed her wish to have a baby by her childhood friend, and the equation heart=fetus (Schneider, 1956, pp. 107-110).

Certain of these equations appear to me to be more "primary" than others. I say this in the classical

psychoanalytic sense discussed in the first chapter: Some referents, more affectually ladened, are more subject to repression and thus "primary". Such portions of the anatomy as breast, vagina, and penis appear to be primary referents, and equations in which these appear as the referent are the primary symbolic equations. Put differently, secondary referents, such as the sun, can appear as in the heart=sun symbolic equation, but the missing, more affectually ladened element is the penis so that an underlying equation springing from the deeper recesses of the subconscious exists, namely heart=penis. Thus, one may be confronted by an apparent equation of A=B, in which another equation A=C exists underneath. And the process of discovering this more hidden equation, may be to first recognize the equation B=C and only then develop the logical conclusion that A=C. The commonly shared conceptual determinants that hold together the three elements must then be demonstrated. To give an example, a psychoanaltyic investigator might discover the heart=penis equation through a process of recognizing the manifest equation heart=sun, whereupon the sun=penis equation, gathered from his previous knowledge, suggests to him the existence of the underlying equation heart=penis. In fact, the sun=penis equation <u>is</u> a well recognized one in psychoanalytic and mythological thought, much more so than either heart=sun or heart=penis. In this type of instance, in which one argues for a heart-related equation by reference to an equation involving a third element, I make

reference to the dynamics and classic examples supporting the symbolism of third elements but I refrain from any extensive detail. Without limiting myself in this manner, it would be necessary for me to discuss a variety of symbols, such as "sun" or "hand," at considerably greater length.

Having stated this, I must add a caveat. I have adopted in the paragraphs above, concerning primary and secondary, the classical Freudian view; but it does not appear to me sufficient because it invokes the concept of repression as the determining factor. From the developmental point of view, something else seems to be called for. The repressive and developmental view appear to coincide when the symbolism attaches to that first affectually ladened object, to which the child responds, whether as a consequence of being fed from it or fed while being held to it, namely the mother's breast. Developmentally, one might hypothesize that in addition to the innate urge to suck, the symbolizing function is innately directed toward the breast, in the fashion of an archetype, or in the fashion suggested by Piaget. However, developmentally one wonders when genitally related objects begin the process of becoming symbols. Certainly, later on in development, the genitals become more affectually ladened, more repressed than other elements, but one cannot help but wonder whether the moon, which is a breast symbol, actually precedes the formation of phallic symbolism; or for

that matter, whether the sun actually precedes the phallus as an affectually ladened object. Later on, of course, heart=sun might be an equation more readily accepted than heart=penis; but it seems too simple to think of all equations as having as their final source the human body, or human interactions; or to rely upon repression as the only mechanism of symbolization. Perhaps within the seeming primacy of human bodily elements and human interactions lies a hierarchy in which at least characteristics of the sun and moon also have a place. These entities, after all, appear to draw upon the innate symbolizing qualities in man; and I think in particular of two aspects of them. The first is that "light" is a central characteristic of them, and darkness in their absence, and we are not in control of these qualities, in fact take our sense of light as a reflection from them. Second, they come and go, and this coming and going in conjunction with light appears to make them objects of central concern to a developing child, a symbol to which overwhelming fear of object loss would readily attach. What happens between the time of birth, and the time of the solidification of symbolization, is very unclear. But one cannot help but be reminded that psychosis itself often releases a libidinal energy which, even if misdirected, yields to dramatic enchantment and fascination with light and darkness.

Having stated this as a caveat, I will now offer a series of "secondary" equations, some of which will probably appear to the reader more intuitively obvious than others.

The Heart=Seed Equation (also Heart=Greenstone and Heart=Plant):

1) Concepts:

The seed like the heart is a crucial source and essence of life, embodied in a small capsule relative to the size of the organism. In addition, the seed represents an ideal symbol of death and resurrection. Apparently dead, it sprouts and lives when placed in the proper environment; it resurrects. Thus, there is a wish to compare heart to seed, directed by the desire for resurrection of a loved one. Further, man in many cultures places his dead in the ground, a subconscious or at times conscious analogy to planting a seed, and the heart may appear as if the seed of the body. The heart=seed equation appears particularly strong in cultures dominated by thoughts of agriculture.

In addition, the seed has an oral association because it gives rise to vegetables, grains, and fruits, and because seeds are consumed, either whole or in part. Subconscious beliefs about the interior of the body, and oftentimes conscious beliefs, are not scientifically accurate. Universally children do not have sophisticated knowledge of the internal organs. Thus, the heartbeat may become associated to the action of the stomach; or more particularly, the heartbeat may give rise to the thought

that something has been swallowed alive, and resides inside. Similarly, a common childhood, folk, and subconscious belief is that a seed, when swallowed, represents something alive inside the body; or gives rise to the fetus. Thus, oral motifs tie together the seed and the heart symbolically.

Evidence:

The evidence for this equation comes from a variety of contexts, but the equation has not appeared in the psychoanalytic literature as far as I can ascertain. Etymologically, the word "core" is derived from the Latin "cor," which means "heart." Core refers to the central part of anything, to the most important part of something, and also to the "hard central part of an apple, pear, etc., that contains the seeds" (Webster's New World Dictionary, 2nd Edition). Thus, seed and heart are associated in terms of the history of words.

Further, in a number of cultures, particularly agriculturally dependent ones, the heart is manifestly compared to a seed. Aztec and ancient Egyptian culture had death rites and accompanying myths which reflect the heart=seed equation and are strikingly similar in specifics and dynamics. I have already summarized these rites in terms of their relationship to heart=penis and heart=breast. As I have forewarned, these symbolic equations tend to intertwine in their manifestations. I ask the reader's patience in returning to the same material once again. In Aztec culture, the heart was specifically compared to a

kernal of corn or to the sacred corn plant. The Aztecs placed in the mouth of the deceased a greenstone, to take the place of the heart. (One can also find this small greenstone placed in the breast of Aztec statues to represent the heart.) A deceased of elevated rank was buried, but commoners were cremated, and the ashes placed in a pot on top of which the greenstone heart rested. All of this was in the service of a partially resurrective myth. When the soul of the deceased arrived at the realm of the Lord of the Dead, the "unworld," he was assigned to one of nine hells (without any moral significance) and the piece of greenstone tied to his mouth had to be left as a pledge in the seventh hell (von Hagen, 1961, pp. 115-116). The greenstone thus represented the heart as the essence of the individual, as a seed, and as a pledge.

In somewhat similar fashion, the ancient Egyptians of the New Kingdom inserted amulets in the bandages of the mummy, including the "heart scarab" which was usually in greenstone bestowed for the purpose of restoring life to the heart. Upon the back was inscribed a legend in which the heart was addressed as the ka (roughly the "ghost" or "spirit") of the body, "The Khnum (ram headed Creator-god) which makes my limbs to prosper" (James, 1957, p. 114). Subsequently, the "Opening of the Mouth" ceremony was performed in which the eyes, nose, ears and mouth of a statue of the deceased were touched with various magical instruments, including a rod ending with the head of a ram,

called "Great Magician." With this the priest pronounced the formula, "I open thy mouth with the Great Magician wherewith the mouth of every god is opened" James, 1957, p. 113). The Book of the Dead states concerning the rite: "And behold, thou shalt make a scarab of green stone, with a rim of gold, and this shall be placed in the heart of a man, and it shall perform for him the 'Opening of the Mouth'." The deceased is to address the scarab as "my heart, my mother; my heart, my mother! My heart whereby I came into being" (Budge, 1969, Vol. 2, p. 358).

As we have seen, there is a great deal of oral, breast, and phallic imagery in this rite. The wish behind the ceremony is for the mouth of the deceased to be sucking eternally on the mother's breast, represented by the greenstone scarab or heart symbol, and the magic to be performed is the magic of resurrection. But why the greenstone, in both Aztec and ancient Egyptian rites? It is a compromise formation to symbolize the dead person, involving on the one hand the recognition of the cold hardness of the body in death and on the other the wish that the body will nevertheless endure as stone endures and even remain eternally green.

In other words, the "planting" of this stone is not unlike the planting of a seed and carries with it the hope that, like a seed, the body is only dormant. The ancient Egyptians were quite conscious of this metaphor in relation to their burial rites. As Budge (1967) states:

> The body does not lie in the tomb inoperative, for by the prayers and ceremonies on the day of burialit is endowed with the power of changing into a sahuor spiritual body. Thus we have phrases as, "I germinate like the plants," "I exist, I exist, I live, I germinate, I germinate" [footnotes omitted]. (p. lix)

Here in a slight detour, let me mention that the power of the greenstone symbol in other situations--divorced of the heart imagery but representative of the same dynamics in which the stone represents a seed. For example, it shows up on the death of the great, and symbolically oriented, German author Thomas Mann, as recounted by his daughter. The author's family had bought him on the occasion of his 80th birthday a ring of transparent green tourmaline for which he had expressed an abiding wish. Confined in his bed by illness, which eventually proved fatal, he would gaze at his beautiful ring for comfort. When he died, his daughter (Mann, 1958) writes, in what sounds like an unconscious echo of the same dynamics as in Egyptian rites:

> Dear, beloved, Magician, grace walked with you to the end, and you went forth in tranquility from this green earth about whose fate you have so long and lovingly distressed yourself. For three days, your shell, your slender body, with its stern, brave unfamiliarly waxen features, lay in the farewell chamber of the clinic. Your lovely ring was on your finger. The stone shone darkly. We buried it with you. (p. 119)

These are the final words in her book about her father's last year of life.

Freud himself seems to have succumbed to the power of the greenstone symbol. As a direct consequence of Jung's departure, what might be said to represent symbolically his death, Freud created a ritual to keep alive the Freudian

doctrine, a somewhat ironic development in light of Jung's interest in symbolism. On May 25, 1913, he presented to his remaining inner circle of six colleagues, intaglios similar to the Greek-Roman intaglio with a head of Jupiter he wore on his own ring. Each member had his stone mounted in a ring and thus the chapter in Sach's reminiscenses entitled "The Seven Ring" (Sachs, 1922, p. 153; Jones, Vol. 2, p. 154). One of these members, Freund, was fatally ill; and directed that the ring he wore be restored to Freud after his death, and Freud then gave it to Eitingon (Schur, 1972, p. 317). I do not know the color of the other stones, but Weiss refers to the ring on Freud's finger (presumably this one) as green in color (Weiss, 1970, p. 21). The ring was subsequently stolen (A. Freud, personal communication, 1976).

In ancient Egypt, there was another symbol for the heart, also related to the seed. It was the seed-filled fruit of the persea tree, somewhat similar in shape to the persimmon, which was believed to resemble the human heart. The Egyptians sometimes included the "persea-heart" in the burial chamber: Strikingly realistic ceramic and opaque glass models of the fruit were made and placed as heart symbols with the mummy. It should be noted that the persea tree itself was considered sacred: Out of a fire, which burned on the top of the sacred persea tree of Heliopolis, the sun bird and heart symbol, the bennu, was believed to have been created. (Budge, Vol. 2, 1969, p. 371). In

addition, the leaves of the persea tree were mounted on top of a ritual shaft and carried by participants to Osirian rites. The carrying of this large persea leaf shaft in a rite honoring a phallic god, represents the carrying of the phallus itself (Keimer, 1947).

Interestingly, this rite resembles the carrying of the Dionysian javelin or thyrsus previously mentioned in terms of heart=phallus symbolism. The pine cone on the tip of the shaft, which was mentioned as a glans penis symbol, is also in the nature of a seed, and in the service of the heart=seed equation.

Finally, two more examples, which incorporate the same type of motif. In a personal account by the mother of a teenage boy, Sam Poole, who underwent a successful heart transplant operation at Stanford University Medical Center, the fate of her son's new heart, and his life, is compared to the fate of a jade plant that one of his nurses, Kathy, claimed held a mystical relationship with the patient. Says the mother (Poole, 1980):

> The odd thing is that Kathy's secret pact with God, the jade plant, seems to understand too. Both times Sam rejected [that is, his body began rejecting the new heart], I watched, horrified and disbelieving, as its leaves began to shrivel and turn yellow. When he stopped rejecting, it stopped dying, and while I know it's absurd to run howling with joy to the telephone to tell everyone that the jade plant has a blossom or that it has put out a new shoot, I can't help doing it. It is Sam's weathervane. (p. 279)

Finally, in a current popular movie, "E. T.", an alien being is stranded on earth. In the underlying psychodynamics of the movie, this being--who is befriended by a young boy

whose father has just left him--represents not only the missing father but (even in its strange appearance) the departed father's phallus. It has all the magical properties of the phallus, including, most strikingly, the ability to resurrect from apparent death. Also, in the service of the equation alien being=phallus (a common equation in this type of fantasy in which often one can find alien being=fetus=phallus), the alien being has transparent skin in its chest area, so that one can see a large red pulsing light that represents the heart (a variation on the heart=sun motif). At his apparent death, a flowered plant identified with him, suddenly shrivels and dies; the sign that the alien has "come back to life" is the flowered plant standing erect once again simultaneously with his red "heart light" coming back on. The simplistic force of such symbolic equations in this popular drama, including the equations plant=heart=phallus, captures the public attention without any conscious awareness of the most strongly repressed referent, the sexual one, namely the phallus.

The Heart=Bird Equation:

1) Concepts:

The heart=bird equation is actually one of the more frequent motifs in contemporary life. Depictions of a stylized heart with wings appear in innumerable place as popular art: On tee shirts, record album covers, popular cards, advertisements. Probably the primary concept that lies behind the equation is one which might not at first be

apparent; that is the bird's ability to fly, and specifically, to fly out of man's reach and control. The bird soars where man cannot go, and illustrates his lack of control over the things of the universe. Similarly, the heart appears uncontrollable; it is like a small animal within man's breast, which palpitates despite what he expects or desires, and beats faster or slower despite his conscious attempts to control it.

Another determining concept, one related to the first, is that the bird's wings beat, just as the heart beats or "flutters." That is, rhythm is common to both entities. (Schneider, 1958).

A third concept, related to the rhythmic one, is that the bird sings; it vocalizes and displays rhythm, just as the heart makes an audible sound, and has rhythm.

Fourth, our reaction to the bird, which sings, soars, and is often beautiful, is an emotional one, which presumably affects the heart rate. The inspiration of beauty is a difficult concept to define; and yet all cultures react to the bird's visual characteristics, and aural characteristics, as beautiful stimuli. Perhaps the beauty makes the inability to control the bird particularly frustrating.

Fifth, the bird of beneficent or malignant character is a classic breast symbol, which has been pointed out by a number of psychoanalytic writers (Veszy-Wagner, 1973; Freud, 1957; Reichbart, 1981). We immortalize this symbolic

relationship when we refer to women as "birds" (in England), "chicks" or "hen" (as in "mother hen" or "hen pecked"). The determinants of the relationship bird=breast equation are contained in the attributes of the bird already discussed, most of which, such as resurrective motif, beauty, and aural characteristics, the reader can connect to the mother. Thus, we often observe heart and bird equated to one another with a more hidden shared symbolic referent being the mother's breast.

2) Evidence:

The heart=bird equation is suggested in our common speech when we make such statements as "my heart soared" or even "my heart soared like a bird" to describe euphoria. In ancient Egyptian rites and myths, the heart=bird symbolic equation was rife. The Egyptians worshipped many animals of their environment and their anthropomorphic gods were usually an amalgam, often displaying an animal's head on a human body. In addition, a variety of birds, beginning in earliest times with the hawk (Budge, 1969, Vol. 1, p. 9) and including the swallow, goose, vulture and heron (Budge, 1969, Vol. 2, pp. 371-374) symbolized gods. One of the worshiped birds, the ibis was a symbol for the human heart. The ibis, which has a hooked beak and legs similar to a crane's (See Figure 4), comes in two distinct species the more common one of which has white plumage, and jet black head, neck, and tip of the wings and tail. The bird was honored by the Egyptians as a sacred protector because it

supposedly saved Egypt from the snakes which came from Arabia. Says Herodotus (1942): "The story goes that with spring the winged snakes came flying from Arabia towards Egypt, but are met. . . by the ibises, who forbid their entrance, and destroy them all" (Chapter II, p. 75). The ibis was also an Egyptian symbol for the moon; and the Egyptian hieroglyphic for the ibis "hbi", sounded very much like the hieroglyphic for the heart, "ib". The ibis, as might be expected, was an integral part of the Egyptian funerary rites: The bird was mummified, the mummy placed in a separate container; in some cases a bronze bird's head and bronze feet were affixed to he container so that the entire assemblage resembled a living ibis, and then the ibis container was placed in the burial chamber (Keimer, 1947). The mummified bird, with head tucked under, resembled in shape the human heart (Keimer, 1947) and some authorities contend that the living ibis, when the bird tucks its head under its feathers, also resembles the human heart (Wellman, 1896).

Manifestly, a heart=bird equation exists here. But the equation is more complicated, for breast imagery attaches readily to it, and the resurrection motif is present as well. The breast imagery adheres because, for one, a bird which destroys snakes and protects the country from them, is a mother symbol, the snake being a phallic symbol representative of the father <u>par excellence</u> (La Barre, 1969), and the ibis as mother defends the child from the

father's wrath. For another, the moon and its crescent shape are breast symbols determined in part by the resemblance of the moon's crescents to those of the mother's breast.

Heart=Sun Equation

1) Concepts:

First, the sun is an obvious symbol of life, as well as of death when it descends and resurrection when it arises again, and thus carries with it concepts similar to those associated with the heart.

Second, the sun is a classic phallic symbol, largely for the same reasons. We have already observed manifest sun-penis equations in cultures such as the Aztec and the ancient Egyptian.

2) Evidence:

Evidence for the symbolic equation heart=sun comes most persuasively from diverse myths and rites in different cultures. The ancient Egyptian and Aztec myths and rites present the most striking evidence because the equation is part of an elaborate belief system, involving calendric and agricultural concerns, in which it appears manifestly. I have already discussed in the section on heart=penis, two of the Aztec sacrificial rites in which the heart=sun equation manifestly figures. An additional example of the manifest Aztec belief in the heart=sun equation occurs in the myth concerning Xipe, the god of the young sun and corn, who is colored green. He is transformed into a powerful war god,

called Huitzilopochtli. A song about this transformation (Neumann, 1972) goes:

> It may be I shall fade, fade and die
> I the young corn stalk
> A green jewel is my heart, but I will see gold.
> I will be content once it has grown ripe;
> The warrior chief is born. (p. 322)

One of the enacted transformations has previously been mentioned, in which the sacrificial prisoners take part in a sham fight, in which they do not have real weapons but their assailants, the sun knights, do. When each is sacrificed, after being severely wounded, his heart is held up to the sun. The meaning of this gesture is explained, in terms of the god it celebrates, Xipe as follows (Neumann, 1972):

> The slain prisoner is female and male, mother and son, earth and god of light, soil, and corn in one. He is the dying feminine principle and the renewed male principle, which is represented by the heart and symbolically identical with sun and the ear of corn. The sacrificial action, typical for the Aztecs, in which the heart, the gem, the eagle's fruit, is torn from the breast of the victim and held up to the sun, corresponds to the "husking of the corn." The sun . . . is fed on the sacrificed hearts and their blood.
>
> The corn is a phallic fertility symbol; . . . The tearing out and lifting of the heart are a magical aid for the rising sun and also for the growth of the corn; its rising must be helped; "lifting" as well as "jumping" are magical abettors of growth. (p. 196)

The question that often arises is how is one to morally judge, if at all, such cultural rituals--in Aztec rites it has been estimated that between 20,000 and 50,000 people were sacrificed annually! However, that question is beyond the scope of this dissertation. Nevertheless, one can observe, in these rites, the power of the symbolic equation heart=sun.

In ancient Egyptian mythology, the resurrective theme was predominate, and the sun was worshipped in the form of the great, resurrective sun god Osiris, whom we have already met in discussing the heart=penis equation. The sun was also associated with the heart scarab. The scarab beetles are dung beetles, which deposit their larvae in balls of dung which they have made. As Budge (1969, Vol. 2) states:

> At a very early period in their history the Egyptians associated the sun's disk with the dung ball of the beetle, partly on account of its shape, and partly because it was the source of heart, and light, and life to man, even as the dung ball was to the young beetles. Having once got the idea that the disk of the sun was like the ball of the beetle, they went a step farther, and imagined that it must be pushed across the sky by a gigantic beetle just as the dung ball was rolled over the ground by a beetle on earth, and in pictures of the sunrise we actually see the disk being pushed up or forward into the sky by a beetle. Gradually, the ideas of new life, resurrection, life in a new form, and the like, became attached to the beetle. (pp. 294-295).

The god with the attributes of the beetle, usually a beetle's body on a human torso, was Khepera. He was considered to be one of the first gods, a creator god, who also represented the heart and who, by laying a foundation in his own heart, created the world. Thus, here we find, in elaborate form, another variant of the heart=sun equation, in this case with the additional element of the scarab beetle.

Heart-Hand Relationship

The heart-hand relationship is one that I have the least explored of those presented in this dissertation. It is based on a juxtaposition which appeared in so many cultural examples as to give pause. However, no clinical

examples are available. I have hesitated to call this relationship symbolic equation, because both objects appear to be present concurrently in those examples. Nonetheless, it also appears as if the breast is the symbolic object to which both of these manifest objects refer.

1) Concepts:

Let me present the rationale for the heart-hand relationship in which the breast figures as the latent object. For one, the hand has been suggested as a breast symbol, which begins in infancy, when the infant clutches the mother's breast with his hand, or subsstitutes the hand for the breast in sucking his thumb (Almansi, 19). The heart is generally signified or felt by laying a hand on the breast, or feeling for the heart beat in this fashion. In customes, for example, the heart is traditionally pledged by laying the right hand, or fist, on the left breast. And, as we have seen, the heart itself is a potential breast symbol. Thus one appears to have a potential relationship that if put graphically looks something like this: Heart Hand

Breast

2) Evidence:

I take the evidence for this relationship from two striking examples, in which the heart and hand have become isolated both from the body and from any overt act, and thus appear to be functioning symbolically. The just is from Aztec rites and customs and again. The great Aztec mother goddess, Coatlicue, was a classic example of the mother as a

terrifying death figure. She was depicted in statues as having a skull head and a necklace of severed hand and hearts from her sacrificial victims which extended over her large bosom .

More benignly, a common motif in American folk art from the 18th century is that of the "hand in heart" or "heart in hand," both of which signified charity. In these instances, the stylized heart appeared inside the palm of the hand or, alternatively the hand appeared within a stylized heart. These motifs appeared everywhere: as cookie cutter shapes, paper decorations, woven paper hands and hearts, watercolors, and so on (Eff, 1978). In a related phenomenon, a gift of gloves to a woman on Valentine's Day, was traditional, to be worn at Easter. Similarly, the International Order of Odd Fellows used the "heart in hand" as a symbol of the unselfish giver: "the hand is open to denote giving, and the heart in the palm denotes cheerful giving" (Eff, 1978, p. 17); and thus the Order made concrete the expression we use to denote generosity: "I would give you my heart."

Other Equations: Heart=Clock, Heart=Hour Glass, Heart=Small Leaping Animal, Heart=Vessel

There are other equations which are too obvious to go into in detail - some of them relate to the heart as a symbol of time, as a consequence of its role in life and death, and its rhythmic heartbeat. Heart=clock or watch is a well-known one, which is involved in the vernacular term

for the heart as "ticker." The heart=hour-glass motif is probably less well known today, but it was a popular one on Purtian gravestones in 17th century America (Eff, 1978), is noted by Schneider in a number of clinical cases (Schneider, 1956) where he suggest that the chambers of the hour-glass are also associated with those of the heart, and appears dramatically in a contemporary greeting card I have included in the illustrations (Figure 5). The heart as vessel, sometimes filled with liquid, is a frequent motif. Schneider notes it in numerous clinical cases, sometimes the liquid being water or urine rather than blood as a compromise in the service of the heart=penis equation (Schneider, 1956); and the Egyptian heart symbol is a Canopic jar. The heart as a small leaping animal is also mentioned by Schneider in numerous psychoanalytic cases, particularly as an animal enclosed in a confined space, and variously as a kitten, a frog, or a rabbit (Schneider, 1956). Many of these animals are simultaneously symbols of male or female genitals, or of the fetus.

FOOTNOTES

(1) The custom of separate heart burial, in which the heart was embalmed, began in 1117 in England. Burial of people of "consequence," was done in the church, so that for sanitary reasons alone, evisceration and embalment were performed. Despite the fact that the practice was banned by papal authority, it continued to flourish. As the seventeenth century closed, it was still the usual custom. In some instances, the heart of a loved one was preserved by the survivor in a box (Bradford, 1933). This last practice had its peculiar rewards for medical sciences. The early anatomist Frederik Rysch (1638-1731) in his Thesaurus Anatomicus Quartus remarks: "English magnates preserve the embalmed hearts of deceased members of their families in golden or silver boxes, and thus my art flourishes" (Rysch, 1704 cited in Liebowitz, 1970). This practice puts into perspective John Ford's use of similar imagery in his play 'Tis Pity She's a Whore discussed in Chapter 7 (Ford, 1966).

(2) The origin of Valentine's Day remains obscure. The Roman St. Valentine was martyred on February 14 in the year 270 A.D. According to some authorities, for example Walsh (1925), a Roman fertility feast was held on February 15 in honor of Pan and Juno. At this ceremony, it was customary to put the names of young women into a box from which they were drawn by men "as chance directed." The Christian clergy attempted, without success, to redirect this pagan ritual, by substituting the names of particular saints for the women (and transferring the day to St. Valentine's day of martyrdom). Regardless, by the 17th century, the custom had developed so that the men gave balls and treats to the women whose billets they had drawn, wearing their billets for several days upon their bosoms or sleeves. I would surmise that from this derives the expression "to wear one's heart upon one's sleeve," although I have not traced the expression from any other source. Unfortunately, Walsh's version of Lupercalia is contradicted by the much more authoritative text of Fowler (1925, pp. 310-321). Other sources (cf. The Encyclopedia Americana, 1975) attribute the custom to the mediveal European belief that birds begin to mate on February 14. For an entirely dissenting view on both points, see James (1961).

(3) Many of the equations and dynamics mentioned in this chapter appear in a sometimes verbose, over-emotional, but nonetheless wonderfully frank description by the psychoanalyst Lawton (1956) of what it was like to suffer an aortic stenosis and submit to heart surgery in 1954--the early days for this type of intervention. For example Lawton fantasizes an elaborate courtroom drama, with doctors, relatives, and himself as defendants, in which he imagines himself to have died from his heart condition, and entitles

this chapter "Who killed Cock Robin?"--an especially elaborate (if unintentional) personal equivalent containing the same obvious phallic connotations, to the Egyptian myth of psychostasia. Again, in a number of places Lawton compares the heart to a bird: He cites medical residents in conversation who try to identify the sound of the heart through the stethoscope, comparing the sound to a seagull, a dove, and then settling on the perfect simile: "it sounds like a cooing pigeon" (1956, p. 113) or he recounts showing of his surgical scar to companions who, he says, "admired the artistry of the incision, the perfect symmetry of the sea gull wings. There and then," he continues, "I made up my mind to have a bird stand in my study containing not a canary but a pigeon, called this time, Aortic Stenosis" (1956, pp. 232-233) (cf. Reichbart, 1981, p. 102).

(4) Other examples of the heart=breast equation: the conscious symbol of Charity, derived in the late Middle Ages, in Christian thought was a figure giving food to children, while holding a heart aloft (Appleton and Bridges, 1959); and the poet John Keats (whose oral imagery has been commented upon by a number of writers) characterized the heart as a "Hornbook . . . the Mind's Bible . . . the Minds experience . . . the teat from which the Mind or intelligence sucks its identity" (Keats, 1959, p. 259).

(5) Other contemporary examples of the bird=breast equation: Frequent New Yorker magazine cartoons satirize the obsessed bird watcher, subconsciously recognizing what it is that so fascinates these seemingly bookish individuals; in the Hitchcock movie, The Birds, an adaptation of a Daphne du Maurier short story, birds take on sudden and inexplicable murderous propensities toward man at the same time as the hero struggles with his bond with his mother; a third, and clinical, example of great poignance is mentioned by the art therapist Kramer: A 7 year old boy, partially blind at birth, whose eyesight had become progressively so restricted that all he could sense were light and dark became obsessed with birds and with making sculptures involving pairs of birds (Kramer, 1970, pp. 73-79).

CHAPTER FIVE: THE CONFIGURATION OF THE HEART

The Stylized Heart Shape

In this chapter, I will examine a cultural sign for the heart, namely the stylized heart shape with which we are all familiar, and will attempt to show that this shape is not arbitrary, but in fact acts as an unconscious symbol for breast and penis. Put differently, I attempt to show in this chapter that the shape was arrived at in an overdetermined fashion, and that the history of the shape reveals that it once stood in a fashion closer to consciousness for phallus and breast, and continues, now in our subconscious, to represent these entities. In addition, as I will show, the shape has stood consciously for a variety of intermediary objects through history, psychodynamically related to breast and penis, before it became a heart sign. Thus, by exploring the derivation of the shape as a sign of the heart, I also will be exploring the nature of heart symbolism. Although I indicated in my previous article on heart symbolism the outlines of the argument for the derivation of the heart shape, this is the first time that such an attempt has been made in depth. In addition, I include in the Appendix graphic data to illustrate my points.

The issue of the derivation of the stylized heart shape arises because the shape--presented to us almost daily in advertising and popular art, on greeting cards, in the form of heart shaped candy boxes, in grafitti, and so on--is

neither a universal nor inherent sign for the heart. The shape does not exist in the depictions of some cultures; and in other cultures, although known, even revered, it does not represent the heart.

The reader will notice that in speaking of this shape I employ the term "sign" rather than "symbol" for the heart. I do so (after some thought on the question) on the grounds that the shape has at least some resemblance to the human heart, and in this sense is a form of sign, namely an icon, according to the original classificatory system of Pierce. The resemblance lies in the fact that the top of the shape is larger than the bottom, as is the case with the human heart, and that it comes to a vertex, albeit not a blunt one, as in the human heart. In addition, the shape is symmetrical and although the human heart is not symmetrical, it does have a vertical internal division near the center, and an equal number of chambers on each side of this division, suggesting some symmetry. Thus, I have settled on "sign" as the appropriate term to denominate the shape; but--out of the many possible signs that might be and have been chosen that would as roughly fit the actual shape of the heart as this one--the question remains: Why this shape? In addition, it should be noted that the shape is a conscious symbol for the concept "love."

Although it is a conscious symbol for the concept love, the determinants for this symbolization are unconscious. We have already mentioned in the fourth

chapter, the unconscious dynamics which would foster the heart as a conscious symbol for the concept love: the multideterminants that lead to the equating of heart and that first object of contentment and oral gratification, the mother's breast; and the determinants that lead to the equating of the heart and the objects of sexual desire, penis and vagina. Put differently, the heart represents the concrete objects of oral and genital gratification, that are hidden beneath the more abstract concept of "love." The heart shape has become so representative of this word "love," that it functions today as a substitute or shorthand for the word, as in the popular slogan adopted by residents of New York City: I ♥ N Y,

To make this intellectual journey easier, I will distinguish between the heart shape as a sign for the heart, and the same shape devoid of cultural meaning. Thus, when I speak of the shape as a heart sign, I call it the "stylized heart shape" or "heart shape," but when I speak of the shape as a geometric pattern, I refer to it as the "stylized double crescent shape" or, more simply, as "the shape."

How the Heart is Depicted

Prehistoric Depictions

Logically, the place to begin our search for the derivation of the stylized heart shape is in the depictions of the heart by prehistoric man. However, although there are common traits to the manner in which prehistoric peoples depicted the heart, the stylized shape as a sign for the

heart simply does not exist. Prehistoric man depicted the internal organs of animals infrequently, beginning with incised drawings on fragments of bone from the late Magdalenian period, approximately 10,000 B.C., in southern France. The depiction of internal organs within the body of an animal are referred to, in general, as the "X-ray style." Frequently, the style has these features: A "life-line" extends from the mouth of the animal to the interior of its body, where one organ, presumably the heart is drawn. The organ is generally round, oblong, amorphous, or in the most stylized examples in the shape of an isosceles triangle, the apex of the triangle pointing toward the caudal end of the animal. The most famous early example of the depiction of the heart appears in an atypical Ice Age X-ray drawing, one without the life-line, from the cave of El Pindal in northern Spain: The drawing shows the outline of a mammoth with an amorphous red spot in the center (Breuill, n.d.) and is frequently reproduced in contemporary art books. In X-ray drawings, whether prehistoric or primitive, the heart is almost always red in color. The X-ray style did not spread south from northern Spain and southern France, but it did apparently spread to Norway in the so-called Arctic Art of 6,000 to 2,000 B.C. and to Siberia (Pericot-Garcia, Galloway and Lommell, 1967, p. 259).

Primitive Depictions

Primitive tribes continue to produce X-ray style drawings of animal figures, and in addition human figures,

in which the heart is depicted in much the same manner on the whole. None of these primitive depictions of the heart employ the stylized heart shape. The provenance of primitive X-ray drawings has been partially summarized by Pericot-Garcia, Galloway and Lommel (1967) as follows:

> The X-ray style is seen, even today, in the ornamental art of Siberian hunting peoples such as the Ostyaks or of Eskimos . . . or the American N. W. Coast Indians; traces of it can be found in the decorative art of the Pueblo Indians . . . . Pictures in the X-ray style are known also in India, Malaysia, western New Guinea, New Ireland and in a small district of northern Australia. (p. 259)

In North American Indian art, the most striking depictions of the X-ray style occur on the pottery of the Pueblo Indian tribes, in which heart and life-line appear but the style is common to a variety of tribes and the triangular depiction of the heart is frequent (see Figure 1). For example, Kroeber (1900, p. 71) states that the Arapaho Indians when depicting the heart drew it "roughly triangular in shape."

The absence of the stylized heart shape in prehistoric or primitive depictions of the heart far from being a frustration to our search for the origin of the stylized heart shape, leads us to one inescapable and significant conclusion: The double crescent shape is not an "innate" sign for the heart. For that matter, it is not an "ancient" sign relative to the historical length of man's use of pictoral signs. Is it, however, in some way an inevitable sign once society progresses into a more "civilized" or more technological sophisticated form? Let us look at two societies in which the heart played a significant

ritualistic and mythic role as a way of tentatively answering this question.

The Heart as Depicted in Ancient Egypt

As we have seen the heart was a significant, deified organ for the ancient Egyptians and played a central role in their burial rites and accompanying mythology. In the funeral rite, a bull was sacrificed, its heart torn out, offered to the deceased, and then the relatives ate it raw (Budge, 1969, Vol. 1, p. 176). In addition (and let me repeat the myth), the heart of the deceased, figures in the ancient Egyptian "myth of psychostasia" or "weighing of the soul," in which the deceased was led into a great hall, variously called the Hall of Double Law or the Hall of Truth, for his final judgment. Here was a giant balance, in which the deceased's heart was placed in a Canopic jar; in addition, the heart--as repository of all of the past deeds of the deceased--testified for or against its owner. Observing these proceedings was a monster, the Devourer of the Unjustified, ready to pounce and dispatch the deceased if his heart testified against him (see Figure 2). But if the heart testified favorably, and balanced with the truth, the deceased was ushered before the great god of the underworld, Osiris. In funeral papyri, the deceased often pathetically beseeches his own heart not to testify against him. Thus, the heart tended to take on the role of "god in man," comparable to the Christian concept of "conscience"

(Brandon, 1967, 1969) or--in a more psychoanalytic sense--the concept of the superego (Reichbart, 1981).

The ancient Egyptians, of course, were enamored of symbolism, and it is not surprising to find that the heart, so significant to them, was symbolized in numerous ways other than as a Canopic jar, using a variety of animal and vegetable forms. These symbols included:

The scarab beetle (Scarabaeus sacer) -- The scarab beetle, one of the dung beetles, rolls a ball of dung along the ground, in which it buries its eggs; thus, the beetle came to represent the sun which "rolls" along the sky. And because of its periodic reappearance on the surface of the Nile mud, the beetle came to be associated with the concepts of resurrection, creativity, and immortality. Stone scarabs, usually in green -- the color of Osiris and vegetation, were placed with the deceased to represent his heart, which also, it was hoped, would resurrect. The stone scarabs were flat on one side, on which a ritualistic prayer, in hieroglyphics, was incised; on the other side, the beetle shape was stylized, in this form: .

The ibis (Threskiornis aethiopica) -- This wading bird with a long, slightly curved bill was worshipped by the ancient Egyptians in its own right and also represented the heart. The ibis has black-and-white feathers, which form a crescent pattern on its back, and was believed to have saved Egypt from an influx of snakes from Arabia. The name "ibis" is similar to the ancient Egyptian name for heart "h'bi."

The mummified ibis (which in shape tended to resemble the heart) was placed in a wooden or metal (or combination) sculpture designed to resemble the living bird; and the sculpture was placed in the tomb (see Figure 4).

The curved bill of the ibis apparently reminded the Egyptians of the sickle they used for harvesting, and they gave to the bird the denomination "Father of the Reaping Hook" (Grasse, 1977, p. 96). The ibis headed god Thoth, one of whose headdresses was a crescent moon superimposed on a full moon, was the timekeeper of the Egyptian deities: He had knowledge of celestial mathematics and stands as "recording angel" at the weighing of the deceased heart, stylus and tablet in hand. All of this suggests, in its emphasis on death, time, and the crescent shape, a forerunner of the "Grim Reaper" image of death in Western culture.

The persea fruit -- The seedfilled persea fruit, an example of a vegetative symbol for the heart, was believed by the Egyptians to resemble the human heart in its shape, which is similar to that of the persimmon. Strikingly realistic opague glass renditions of this fruit were placed as heart symbols with the mummy. The leaves of the persea tree, which are simple and entire (one bladed, with smooth, unindented margins), were mounted and carried on a shaft, in a rite honoring the phallic god Osiris. Neither the fruit, nor the leaves, resemble the stylized heart shape (Keimer, 1947.

The heart had other associations in Egyptian myth and rite. In funeral papyri, it was addressed as "my heart, my mother" or as "my breast of my being". Further, Khnemu, a ram headed creator god who sometimes represented the heart, was in very early times regarded as the god of the Nile, whose source was believed to be a double cavern "which was likened to two breasts . . . from which all good things poured forth;" and it was here that the Nile god resided (Budge, 1969, Vol 1, p. 53). Thus, heart-breast associations -- while not entirely manifest -- were strongly present in Egyptian heart symbolism.

The Heart as Depicted in Aztec Culture

The Aztecs were a people who carried their obsession with the heart as a symbol to an extreme, although many of the dynamics of their "pledges of the heart," in which the heart was ripped out of the living body of a human sacrificial victim, occur in the less brutal pledge rites of contemporary culture, such as pledging allegiance to the flag or pledging one's heart to a lover (Reichbart, 1981). Regardless, one would naturally expect in Aztec culture a well-articulated heart symbolism, making it a culture logical to investigate for the presence of the stylized heart shape.

The Aztec symbols for the heart had phallic and breast components, sometimes explicit, and were associated with the sun and with vegetative growth, in a rich amalgam focused on the concept of death and resurrection. As in Egyptian

culture, the heart equals sun equation appeared, the heart being presented to the sun god by ripping it from the human body, sometimes at a climactic moment in a rite which symbolized the sun at its height in its passage across the sky. In addition, again as in Egyptian culture, the heart was represented by a green stone, green for vegetation, in burial rites; and this stone was placed in the breast of many Aztec statues of gods (Reichbart, 1981). The green stone was a small hollow cylider about the size of an adult thumb, slightly rounded on the inside margin. An example of the amalgam of these elements, in which the heart plays a key role, occurs in the song of the Aztec god Xipe, god of the young sun and corn, as he is transformed into a god of war:

> It may be that I shall fade, fade and die
> I the young corn stalk
> A green jewel is my heart, but I will see gold,
> I will be content once it has grown ripe:
> A warrior chief is born.

As stated by Neumann: "The corn is a phallic fertility symbol; . . . . The tearing out and lifting up of the heart are a magical aid for the rising sun and also for the growth of the corn; its rising must be helped . . ." (Neumann, 1972, p. 196). In another poem, dedicated to the goddess Tlazolteol, a similar vegetative image occurs: "The flower, my heart, has opened" (Anton, 1969, p. 123).

It is not surprising, given this background, that graphic symbols of the heart in Aztec culture are often vegetative in appearance, sometimes suggestive of phallus, breast, or vagina. For example, a common Aztec symbol for the heart resembles a corn kernal or vaginal representation, in this fashion:  (Trueblood, 1968, p. 105) and one of the codices depicts the heart as a cane plant the phallic appearance of which is striking (see Figure 5). One of the most famous Aztec sculptures depicts Coatlicue, Our Lady of the Serpent Skirt -- a terrifying mother goddess standing eight feet tall in stone whose pendulous breasts are obscured by a pectoral ornament in the form of a skull from which is suspended a necklace of alternating human hands and hearts. The hearts are stylized and resemble buds of flowers with rows of crescent shapes around them:  (see Figure 6). This (particularly grisly) juxtaposition of heart and hand, incidentally, is not unique but occurs in many cultures. For example, the heart-in-hand, and hand-in-heart, is a common motif in North American folk art, where it symbolizes charity (Eff, 1978; see Figure 7). The heart-hand association, as illustrated in the proximity of both objects to the breasts of the mother goddess, probably has as common denominator the mother's breast and reflects some of the same psychodynamics as the hand-breast equation (Eisenbud, 1967). Another apparently Aztec symbol for the heart, as reproduced by Spinden, does not have a vegetative

appearance: Almost facelike, with two circular "eyes" (signifying the severed ends of veins or arteries?) and the suggestion of the heart shape in the double crescents at its base, it nevertheless is a far cry from the stylized heart shape (Spinden, 1971, p. 89).

Conclusions Concerning Heart Depictions

What can we conclude from this brief, somewhat arbitrary survey of heart depictions? Simply that the stylized heart shape is neither innate nor inevitable: It was not employed by prehistoric nor primitive societies nor by technologically more sophisticated societies for which the heart played a central ritualistic role. This is not necessarily because these peoples were unfamiliar with the stylized double crescent shape. Whereas the Aztec left no depictions of the stylized double crescent shape that I have been able to find, the ancient Egyptians used the shape in vegetative design: For example, the coffin lid of the Mistress of the House Iynaferty, the wife of Sennedjem from the reign of Ramesses II (c. 1304 - 1237 B.C.) depicts a slender mummiform figure wearing on her bosom a wide floral collar decorated with green stylized double crescent shapes (Metropolitan Museum of Art). In addition, the ancient Egyptians revered the common housefly as a symbol of persistence and the usually gold housefly ornament on jewelry, if not exactly the stylized double crescent shape, has a distinct resemblance to it (Bianchi, 1978, Plate 4). Similarly, as we shall see many cultures were familiar

with the stylized double crescent shape devoid of any heart symbolic meaning.

The heart depictions we have surveyed do have certain traits in common which provide us with hints as to the origin of the stylized shape: They often have crescents, such as those formed by the black and white feathers of the ibis or those on the stylized hearts of the Aztec sculpture of Coatlicue, and they are often associated with apparent breast symbols (or oral motifs) and phallic symbols. Keeping these hints in mind, let us approach our puzzle from another direction, by asking where the stylized double crescent shape, devoid of heart symbolism, appears in cultural depictions; or even more to the point--by pursuing the one most obvious feature of the stylized shape: Those double crescents, so glaringly a distortion of the human heart that they demand to be noticed and deciphered.

In fact, the crescent has been a potent symbol for man since time immemorial for a number of reasons. Most importantly, it is a reminder of the curve formed by the mother's breast; in addition, it represents the crescent moon, which seems to herald the moon's disappearance but which then miraculously swells to a full moon again, thereby stirring within man association to the concept of death and resurrection; finally, the crescent is the shape taken by the horn or certain hoofed animals, animals which represented sustenance to the tribes of meat-eating

prehistoric man. Animals which represented sustenance to the tribes of meat-eating prehistoric man.

These horns appear in vast profusion on the heads of animals on prehistoric cave wall and ceiling depictions; or the horn may be held in the hand (precursor of the horn of plenty) as in the famous Venus de Laussel bas relief or mounted on the head of an apparent shaman (see Figure 8). Nor should we be surprised at the importance prehistoric man attributed to the crescent horn, for the very drawing of the horned beasts represented a magical attempt to control them so that might appear within hunting range and be killed; and the drawings represented the key pictoral feature (they were sometimes accompanied by drawings of projectiles) in prehistoric man's magical hunting ritual. Thus, the crescent horns of the beasts became easily associated with the crescent of that first, and equally crucial source of nourishment which man wishes to control: the mother's breast.

The <u>double</u> crescent, as opposed to single crescent, also appears in a variety of depictions by prehistoric and primitive man. In prehistoric depictions, sometimes the horned animal's head is depicted in profile, but both crescent horns are drawn side by side; sometimes the head faces front, in which case the two crescent horns curve either upward or downward. Often the tusks of the mammoth were depicted by ancient man so that the two crescents lie side by side. Similarly, the Australian aborigine depicted

the boomerang--an ideal candidate for a breast symbol because in its lethal hunting form it provides sustenance and in its ceremonial form it flies away but then magically returns--as two crescents side by side. In later stages of development, we discover the double crescents of the ibex exaggeratedly depicted by the ancient Iranians or the famous two bladed ax, with its double crescents, which figured so heavily in Minoan worship. Further, the double crescents play a crucial role in the worship of horned gods in general, whether they appear on the anthropomorphic figures of prehistory or the gods of ancient Egypt with their fabulous double crescented horned heads or disguised in the double crescented mitres which appeared on European bishops during the eleventh and twelfth centuries at the same time as depictions of Moses acquired horns (Mellinkoff, 1970). The very symbol of the ram, as developed in the Middle Ages, is a double crescent shape which looks like this: (Koch, 1955). In other words, double crescents were an intrinsic feature of animal worship, as a consequence in part of their association to the mother's breasts.

One of the inevitable consequences of this development was that the horns were pictorally extended to form a vertex thereby creating the stylized shape we now call "heart shape" (see Figure 9). This elaboration could occur in a variety of ways, the most common being suggested by the outline of the face and pointed snout of the animal which when combined with the double crescent horns on top of the

head (as in the case of the ibex, ram or bull) form a natural silhouette of the "heart shape." Eventually, the shape became disengaged from the animal, and was either juxtaposed with the animal or stood entirely on its own. Examples of this development appear frequently, sometimes by inference, sometimes seemingly in process; but I have not been able to locate a single moment in time when the elaboration first occurred, nor do I think the hypothesis of straight-line development would be sustainable. I offer a number of illustrations from a variety of ancient civilizations from 3000 to 700 B.C. which were, in one way or another, fascinated by horned beasts--often worshipping them, with their phallic and breast associations, as horned gods. Some of these examples are isolated perhaps no more than suggestive juxtapositions, others are typical of their respective cultures.

Chaldea (1,000 - 539 B.C.): These Semitic people who lived in the southernmost portion of the valley of the Tigris and Euphrates apparently developed the stylized heart shape as a free-floating motif (Spearing, 1930). The example from a Chaldea seal shows a striking juxtaposition of a bull or bison with the heart shape ornament, in such a manner that the relationship between the heart shape and the animal horns may be inferred (see Figure 10).

Late Minoan (1500 - 1000 B.C.): This ancient Cretan civilization, the Minoan, was divided into three periods by Sir Arthur Evans, beginning in 3,000 B.C. The Minoans

worshipped the bull, and the bull's head with horns was a common motif from which the double axe derived. In a particularly delightful, if isolated, example, one can see the overdetermination accompanying the pictoral representation of the bull: a magnificent Late Minoan vase is replete with bulls' heads with horns, double axes, and a string of what are really stylized double crescent shapes on their sides running around the vase (see Figure 11)

Mycenean (for Cypriot market, 1400 B.C.): The outer surface of a silver cup, in a traditional Cypriot shape, is decorated with bulls' heads and a decorative pattern which reflect Mycenean artistic treatment. The horns of each bull's head are exaggerated and combine with the face in such a manner that a stylized heart shape "in process" appears to have been created (Higgins, 1967, fig. 188).

Boetian (700 B. C.) This region of ancient Greece, north of Attica and the Gulf of Corinth, was occupied by city-states that had formed the Boetian League, largely dominated by Thebes. One of the artistic motifs common to Boetia was a goddess with a stylized double crescent as head surrounded by beasts of all kinds, including in the terra cotta amphora illustration, a bull. One receives the impression here of a mother-figure who provides animal sustenance to man -- a "lady of the beasts" as Neumann characterizes her (Neumann, 1972, p. 276), for whom the stylized double crescent shape as an elaboration of the

horns of an animal and as a breast symbol, is appropriate (see Figure 12).

Gerzean culture (3,000 B.C.) This pre-dynastic Egyptian culture is known for its painted pottery, red buff, which often shows women figures with upraised arm surrounded by animals such as ibexes and birds. The arms form a stylized double crescent shape, and although some authorities have contended these figures are "dancing women," Neumann (1972, pp. 115-118) suggests that the attitude is one of supplication, a magical attempt to influence success in hunting the beasts. The use of the arms to form the stylized double crescent shape is unusual, most cultures arriving at the stylized shape as the face or head of a person. What is significant here, nevertheless, is the juxtaposition of horns with the stylized shape (see Figure 13).

Assyrian culture (800-700 B.C.) The ibex, the strong and agile mountain goat, has crescent shaped horns which when combined with its thin face have suggested to numerous cultures the stylized double crescent shape. Worshiped as a symbol of the Mesopatamian god Ea, in later times the ibex was popular in Persian and Assyrian art. A unique motif developed in Assyrian art of the 8th and 7th century B.C. in which the stylized double crescent shape was arrived at in a seemingly tangential manner through the use of "crossed ibexes." Two ibexes are depicted standing on their hind legs facing each other, their bodies partially crossing, and form

a stylized double crescent shape between them with the line of their horns and bodies (Wilkinson, 1956; see Figure 14).

However, one does not have to reach back to ancient times to observe this transformation of crescent shaped horns into the stylized double crescent shape. The striking stylized shaped masks of preliterate tribes of the Pacific and equatorial Africa, in the latter instance most notably the Fang and Bakwele tribes, represent this development in vivo so to speak. The stylized shape of the masks of these two tribes appear as a result of exaggerating the natural shape of the human eyebrows, extending the eyebrows to the perimeter of the face, exaggerating the natural symmetry of the fact and pointing the chin. These stunningly beautiful masks approach abstraction, representing obsessive variation over and over on the same stylized double crescent theme (see Figure 15). They are the refinement of related horned accoutrements: Some masks of equatorial African tribes have actual horns mounted on them, others have carved imitation horns. (Willet, 1971, pp. 205-206). In addition, the sometimes mud-bedaubed coiffure of African peoples resembles horns and, taken together with the person's face, suggests the stylized double crescent shape. (It is possible that in our own culture, the standard cosmetic device of women, who paint the crescent-like expanse of skin beneath their eyebrows, accent the eyebrows by penciling them in unnaturally dark shades sometimes exaggerating their curve and length, and pluck eyebrow hair to create a more definite

line, is distantly related. Part of the rationale for this type of stylization may be the creation of an artificial "eyebrow flash," which evidently is a universal form of greeting in all cultures (Eibl-Eibesfeldt, 1972, pp. 15-16) but another conceivable, if less conscious, rationale is the creation of the double crescent associated with the horns of animals--and ultimately with the mother's breasts.) Thus, our denomination of these masks as "heart shaped" is a misnomer; it would be more accurate to refer to these masks as "horn shaped." In fact, it would be more accurate to refer to the stylized double crescent shape itself as "horn shape," for the data suggests that the stylized shape began in many instances as a characteristic of horned animal worship, with both breast and phallic associations.

I have said "in many instances" because I do not wish to rule out the possibility that the stylized double crescent shape was arrived at in a variety of ways. In particular, there were probably numerous instances in which no horned animal worship or fascination with horned animals intervened, and the stylized shape developed directly from an association to the mother's breasts. For example, a "double breast" motif occurs in Upper Paleolithic sculpture, not only in those thin stone rods which have two breasts in the middle, literally reducing the mother goddess to the bare essentials, but in stone beads which depict two breasts and an all but nonexistent head and neck, thereby forming a shape very close to the stylized double crescent shape (see

Figures 16a, 16b). A necklace of eight of these beads from Dolni Vestonice looks very much like a contemporary necklace of heart shapes, except that the shapes are explicitly breasts. Similar necklaces or pendants came from periods after the ice melted: They are found in Mesolithic culture of Palestine at Mount Carmel, in megalithic settlements of France and Italy, in Eneolithic sites in Switzerland, and Eneolithic tombs of the early Cycladic culture of the Aegean islands which predate classical Greece (Marshack, 1972, pp. 291-292). Double crescent shapes, close to the stylized double crescent but without a pointed tip and sometimes referred to as "kidney-shaped" by commentators, also developed in pectoral and body jewelry of Pre Columbian art; their symbolic meaning, if any, is unknown.

If the double crescent shape became prominent as an attribute of horned animal worship, when did it become transformed into a heart symbol in Western cultural history? I suspect that this transformation may have occurred more than once, given the conjunction of man's dependence on horned animal for sustenance and the importance of the heart as a vulnerable spot to insure the beast's death. But one striking instance of this transformation appears to have occurred in Dionysiac worship, and suggests that the heart shape as symbol began amid the multidetermined myths and rites of this orgastic Greek cult. It is an irony that the heart shape, which ultimately figured in Christian iconography, should take its source in such hedonistic

goings-on as attended Dionysiac worship; although perhaps understandable as it has been suggested that Christian worship borrowed many elements of Dionysus--the emphasis on wine and vine for example---and claimed them for its own.

Dionysus, the phallic child god, was a god of many attributes, both animal and vegetable. On the one hand, he arrived from Thrace as a vegetative god, his forerunner being a phallic tree deity, and took on a multitude of plant attributes: grape and vine, fig, ivy, and before his adoption by the wineloving Greeks, the grain of the Northern tribes (Harrison, 1903). Many of these plant attributes related to intoxicant properties: wine, grain liquors, ivy (which apparently was chewed by some followers for its intoxicant powers); for Dionysus was the drunken god who loosened the inhibitions of his women worshipers. On the other hand, Dionysus was an animal god, represented by horned animals, such as goat or bull --"Come, Lord Dionysus," the dancing chorus of women in Elis sang, "[rush] into the temple with your bull's hoof, venerable bull, venerable bull!" (Otto, 1965, p. 80)--or by wild hunted animals, such as boar or deer. Not only was Dionysus the hunted, however; he was hunter as well. He is typically represented attired in panther or deer skin, with his hunting weapon--his javelin--standing by his side.

Irrespective of what attributes of Dionysus were prominent in a particular region or time, Dionysus was most

strikingly a phallic and resurrective god. For example, in Athenian worship of Dionysus the phallus was ubiguitous:

> The participants tied it to themselves so that it became an accessory of comic actors and was also set up as a choragic monument. The god never wears it, but his companions, the sileni and the satyrs, are ithyphallic. Phallus processions and merry Dionysian festivals were held throughout the Greek countryside. As Plutarch describes them, "in the lead an amphora of wine and a vine branch was carried about; then came a man drawing behind him the sacrificial animal, a he-goat; another followed him with a basket of figs, and last a phallus was carried". (Kerenyi, 1976, p. 285)

The wildest aspects of the worship of Dionysus center upon the sacrifice of this phallic child god. His women worshipers, the Maeneds, symbolically were his nurses: In some instances, they took to their breasts animals, such as fawns and young wolves, representing Dionysus. At the same time, as part of their frenzied worship, these same women tore animals to pieces with their bare hands and consumed their raw flesh: at various periods in Greek history, bulls, goats, fawns or vipers were rent and consumed (Dodds, 1951, p. 278). This was a thinly disguised representation of child sacrifice with all the ambivalent orality inherent in the mother-child relationship. On the island of Tenedos, for example, the ritual involved putting buskins on a new-born calf, which represented the god, and treating the calf's mother as if she were a woman who had just given birth to a child; then the calf was slaughtered with an axe (Otto, 1965, p. 107). Legend had it that when Dionysus came to Argos, the inhabitants refused to worship him; the god thereupon drove the women mad so that they stormed off the

mountains and devoured the flesh of their own children (Otto, 1965, p. 106). Child sacrifice, combined with the everpresent phallic motif, suggests that at the center of Dionysian worship lay not only the aggressive orality of the mother-child relationship but a wish to overcome the prohibition on the mother-son incestuous act.

Dionysus was also a resurrective god, referred to as "twice-born," and many of the myths of his resurrection centered, not surprisingly, on an ideal resurrective symbol--the heart. For example, one of the myths related that Dionysus was killed by his enemies the Titans, and his body dismembered; but his sister, Athena, rescued his heart and brought it to Zeus, Dionysus's father. Zeus pounded the heart into a potion which he gave to his mortal wife, Semele, to drink. Drinking the potion, she conceived and restored Dionysus to life (Cook, 1925, p. 1031). The ritual sacrifice and oral incorporation of the wild Dionysiac rites served to reenact this myth with its heart-resurrective theme, just as symbolic sacrifice and oral incorporation are a part of resurrective Christian rite.

Having summarized Dionysiac worship, let us return to the thrust of our investigation: the derivation of the stylized heart shape. I have noted that ivy was associated with Dionysus, in some cases chewed for its alleged intoxicant properties or to represent the rendling of the god's flesh. To the Greeks in general, ivy had magical

power: Because it produces first tendrils and leaves, and then a second shoot which sprouts flowers and berries, it too was referred to as "twice-born" (Otto, 1965, p. 154). The fact that it blooms in the autumn and fruits in the spring also made it an ideal symbol for a god whose ecstatic resurrective rites occurred in the winter months. Ivy's magical protective power appears in another one of the resurrective myths of the child god: Dionysus was born when Zeus's lightning bolt struck his mortal mother, Semele, who died in the flames; but ivy appeared, wrapped around the newborn infant, and protected him; thereupon Zeus took Dionysus, bound him within his thigh, from which he was reborn. In Thebes, ivy was supposed to have wrapped itself around everything and to have checked the shock of earthquakes accompanying lightning bolts; thus the Thebans considered an ivy-twined column sacred to the god and called Dionysus, the "one who is entwined around pillars."

What is fascinating about the importance of ivy to Dionysus is that the ivy leaf is cordate. Depictions of Dionysus by the ancient Greeks so abound in these cordate leaves, wrapped around the tip of his javelin--referred to as a thyrsus, bound in a wreath around his head, encircling a column, or drawn as a background motif, that an uninformed Western observer might simply assume when confronted by a portion of these depictions that he were looking at a specie of heart bedecked Valentine's Card (see Figure 17). In fact, during the Hellenistic period, the initiates to

Dionysian worship tattooed the mark of the ivy leaf on their bodies much as today the stylized double crescent shape is tattooed on the body--except that today the shape explicitly represents the heart and not the ivy leaf.

Added to this suggestive juxtaposition of the heart-related myths of Dionysus and the cordate ivy leaf, is another revealing juxtaposition. I have mentioned the javelin which was a characteristic attribute of Dionysus and was often carried by his women worshippers. In fact, this javelin underwent historical modification: the tip of the javelin was converted to a pine cone, symbolically disguising the aggressive hunting purpose which attached to it and adding an element of vegetative worship. Then, in a further historical modification, the pine cone was wrapped with ivy so that all appearance of a lethal, pointed tip disappeared, although aggressiveness sometimes came out in other ways. For example, in Macedonia, the women worshipers put snakes into the ivy of their pine cone topped javelin, frightening the men observers of the rite (La Barre, 1969, p. 73). The javelin, now more in the nature of a staff, thus took on the name "thyrsus" (see Figure 18).

Phallic elements are obvious here, whether one considers the thyrsus before or after its "domestication": sharp pointed weapon, snakes, the carrying of the thyrsus during phallic processions, the phallic qualities of the snakelike ivy. Further, the pine cone, the seedfilled tip of the growing tree, is a phallic symbol, one not unknown to

more contemporary Western civilization. Centuries later in Western Europe, the pine cone appears in the "perron"--a columnar monument conspicuously topped by a stone pine cone and placed in the center of a city square; for example, the City of Augsberg depicted such a monument in its heraldry design (D'Alviella, 1956, pp. 102 ff; see Figure 19). Closer in time, if not as monumental, the pine cone motif appears on furniture, such as Early American, characteristically on the tip of the decorative posts of beds and bureaus.

I can find no evidence from classical studies that ivy itself was manifestly a heart symbol in Dionysian worship, although it is possible that such manifest association--given the conjunction of heart and ivy leaf--existed. But what is revealing is that classical studies show the pine cone on top of the thyrsus was manifestly a heart symbol, because of an alleged physical resemblance (Wellmann, 1896)! It is hard to resist the suggestion that the ivy, which eventually covered the pine cone, must have acquired the same meaning. Further, what is curious--although I do not claim a direct line of derivation necessarily--is that a common motif in Early American decoration is the pine cone - heart (or pineapple - heart) motif in which in conjunction with the pine cone the heart is depicted in the stylized double crescent shape. No doubt it would put a start in the staid features of the Early American puritan to realize that the stenciled pattern on

his walls would be readily recognizable to the Dionysiac worshiper as symbols of his orgastic cult: ivy leaf and pine cone (see Figure 20). Regardless, I am suggesting the derivation of the stylized heart shape in Western civilization can be traced, at least in part, to the worship of the sometimes horned god, and sometimes ivy bestrewn god--Dionysus, whose resurrective mythology was associated with the heart.

In this, I want to note the particular power of the double crescents in the stylized shape to evoke maternal associations. The protective capacity that the ivy retains against the lightning bolt suggests that the plant is associated with the nurturing capacity of the mother's breasts. The conjunction of ivy leaf and pine cone probably has as one common denominator the crescent shapes associated with both. That is the multiple bracts of the pine cone form multiple crescents, and look very similar to the multibreasted torsos of great mother goddesses such as Diana of Ephesus (see Figure 21) or Bahavani, the pre-Brahman mother goddess of India. Tattooing the stylized double crescent shape on the skin, whether manifest associations are to heart or to ivy leaf, suggests a symbolic manner of retaining control over the mother's breasts and the tendency in contemporary culture to tattoo "Mom" or a woman's name near the shape, strengthens this hypothesis.

Lastly, there are two intriguing pieces of information closer to the present which tend to confirm the fact that

the stylized heart shape took its origin in Dionysian worship. One is the curious fact that, in medieval times, red pigment was produced from the ivy leaf and in a striking manner. The Byzantine monk Theophilus reported that: "[Poets] and artists loved ivy because of the secret power it contained. In March, when the sap rises, you perforate the stems of ivy with an auger in a few places, a gummy liquid will exude which, when mixed with urine and boiled turns a blood colour called "lake", useful for painting and illumination" (cited in Graves, 1955, Chapter 27.12). Thus, one now has a stylized shape associated not with green but with a red, specifically "blood," color. Further, one has an actual physical association between blood and urine, between stylized double crescent shape and penis!

And for the second piece of information, the last in the arsenal. Although the origin of Saint Valentine's Day remains obscure (see footnote 2, Chapter 2), today in Bulgaria, there still exists a peculiar and intriguing conjunction of ancient Greek rites and Christian customs, almost as if a transitional form between Dionysus and his ivy, and the modern heart shape. The patron saint of the vineyards in Bulgaria, Trifon Zarezan, is the Christian embodiment of the Greek god Dionysus. On February 14, Saint Valentine's Day, the vine shoots are ceremonially pruned by the priest and wine is poured on the earth in honor of the patron saint (Lang, 1980). Thus, one has an actual conjunction of Dionysus and Saint Valentine.

Evidence from Contemporary Popular Culture

The history of the stylized heart shape brings us to the present. Perhaps no more striking incidents of the stylized heart shape occur than in popular contemporary culture, particularly in advertising and popular greeting cards. All of the hypotheses discussed in this chapter and the preceding one appear and often quite explicity in popular culture. I have collected a number of examples, including one from "higher" contemporary art work, for inclusion in the Appendix, with the purpose of adding further confirmation to the derivation of the stylized heart shape suggested here.

Thus, in one greeting card with a sexual motif, the heart=breast (actually heart=nipple) equation appears when the nipple on a stylized nude woman's Figure is heart shaped (see Figure 22). Similarly, on another stylized nude Figure, the woman's pubic area is heart shaped, indicating the heart=vagina equation (see Figure 23). In a third greeting card, the pun of "my heart pants for you" appears with a drawing of trousers hanging on a line, and a smiling face on the trousers in the area of the crotch, suggesting--if less manifestly--the heart=penis equation (see Figure 23).

A fascinating example of the heart=breast=pine cone equation occurs in a magazine advertisement for almonds and mayonnaise (see Figure 24). The almonds are mounted on two mounds of a mayonnaise and cream cheese mixture to look like

two large pine cones with their multiple bracts. Overdeterminedly one has here two symbolic breasts, in terms of their shape, the unconscious association of cream cheese and mayonnaise to breast milk, the multiple crescents of the bracts, and the overall oral motif. Further, these two breast-like shapes, when combined with the silhouette of the wooden board on which they rest, form the heart shape. This advertisement at the same time suggests the heart=penis equation, by the name given the spread and nut display: the "Nutsnacker."

A number of other greeting cards indicate other motifs. The heart=plant=glans penis equation occurs in one card when a dog kisses a "flaccid" plant on its heart shaped top; the plant rises up, now erect and bright pink in the heart shaped top as a consequence of the kiss (see Figure 26). A similar example, in which a dog buries a heart, which comes up as a flower with a heart shape on top, suggests the heart=seed and heart=glans penis equations (see Figure 27). In both these cards, the resurrective motif is obvious. Still more, in another, card a flower pokes through a crack in a red brick heart suggesting the heart vagina equation (see Figure 28).

That artists are aware of the heart shape as a possibly sexual symbol occurs manifestly in a card in which a therapist, depicted as a satyr, asks an analysand, depicted as mermaid lying on a couch, to talk about her hair clip--which is heart shaped. Accompanying this card, is the

statement: "Psychiatrists say that the heart shape is sexually suggestive" (see Figure 29). On opening the card, it is filled with heart shapes. The over abundance of heart shapes on opening, when combined with the two figures on front whose lower bodies are conspicuously those of a goat and a fish, suggests the hidden equation of heart=genital. Still another example of this motif occurs in a card originally drawn to accompany an article about psychotherapists seducing patients: It shows a heart shaped pillow pinned to an analyst's couch, again suggesting the heart=genital equation (see Figure 30).

These artistic motifs extend into "higher" art forms as well. The first is a 1923 watercolor by Paul Klee, whose work bespeaks an attempt to reach back to the verities of children's art. This watercolor, called Puppet Show (Myers, 1957, p. 233), is all but an illustrative text of the principles and symbols discussed in this paper. In the center is a stylized woman: her head, too large in proportion to her body, is a stylized heart shape; her torso is another heart shape, with the double crescents near the breasts. To her left, is a phallic tower her size; to her right, a stylized sun. Beneath these objects are a prone figure of a man (as if dead), flowers, and a horned animal with a single crescent horn; and beneath all this, underground, are mustroom-like crescent shapes. As a final factor of obvious significance, the worman has three legs.

Another example is from the work of the contemporary

artist Jim Dine, who has made a series of lithographs and paintings featuring the stylized heart shape. In a color lithograph, entitled Midsummer Wall (see Figure 32), heart shapes are juxtaposed with crescent and full moon, suggesting the death and ressurective motif. Other crescent shapes appear, as do circles, indicating the underlying breast symbolism. An oral theme is also announced by the presence of two forks on the right hand side, as if the entire assembly represented dinner. In addition, there is overdetermined phallic symbolism, in two large detached phallic forms, an impossibly long hammer with flaccid handle and carefully drawn "head," and a wrench. Thus, one can hypothesize that part of this "free associational" lithograph involves the subconscious symbolism of heart=breast and heart=phallus.

CHAPTER SIX: THERAPEUTIC INTERACTIONS INVOLVING HEART SYMBOLISM

The purpose of this chapter is to give some instances in which the heart appeared as a symbol in psychoanalytic psychotherapy and to show how awareness of its meaning as a symbol, to at least the therapist, was helpful therapeutically. The cases discussed, which involve the author as therapist, are limited by the fact that they took place during training. As a consequence, although all of these cases involve at least a year of treatment, full working out of the symbolism involved may not have occurred because of the time limitations. All of these cases took place during the therapist's training at The Psychological Center of the City University of New York, during his one year internship at a training hospital, or during his work under supervision at a private mental health clinic.

These cases are presented for a number of reasons. The first is as additional evidence for the existence of the symbolic equations discussed in the two previous chapters. Although all of the equations do not appear here -- there are no instances of the heart=sun or heart=bird equations for example -- a variety of equations already discussed, do show up during treatment. In addition, another reason for the presentation is to provide additional information about the nature of heart symbolism; indeed, a common theme newly discovered in these cases, and discussed more fully in the

chapter which follows this one, is the archetypal pattern of which the heart is one element, in which the patient wishes to violate an incestuous or murderous taboo. A third reason for the presentation of these cases is to illustrate how symbolism appears and is used during psychotherapy; my hope is to show the manner in which a psychotherapist employs a symbolic hypothesis -- the different steps that he takes and the nature of the feedback that he must consider. In effect, what I attempt to do is to illustrate the methods of symbol determination in psychotherapy discussed in the latter part of Chapter III. In doing so, I have tried to present the phenomenological aspects of symbol determination during treatment, which has necessitated my presenting here my own thought processes as therapy was being conducted. Lastly, I hope to show how the symbol acts therapeutically, the importance of disengaging the symbol, when it is announced, from its unconscious meanings to more conscious ones; in effect, to bring up from the unconscious the referent to which the symbol refers. In none of these cases is the psychopathology so severe, that the symbol has become merged with its referent and the conceptual mediation between symbol and referent is missing, as one finds in autism or severe schizophrenia; but one can perceive in these cases the formation of the symbol. This formation, which in each of these cases has a graphic and plastic appearance, so that one can almost observe over time the

development of symbolic meaning, is one of the primary datum of the cases.

How important is heart symbolism in these cases? In the first case, it appears to me more integral to the outcome of the therapy than in the other two cases; but I do not doubt that a competent therapist could have helped all of these patients without benefit of heart symbolism per se. For these studies to have merit, however, one need not contend that heart symbolism is the crucial aspect of treatment which was therapeutically essential to each patient. Indeed, in all of these cases, the heart symbolism work was embedded in a context in which all the other elements of therapy played a role -- transference, therapeutic alliance, and a variety of psychological themes -- and sometimes had to take a back seat to more immediate matters. In fact, one of my hopes is to show that symbolic interpretations, of any kind, must always be made within a therapeutic context and with many considerations beside the accuracy of the therapist's symbolic insight. Nevertheless, it appears to me in all of these cases that symbolism of some kind had to be dealt with to free the patient from repression, if not heart symbolism per se. There are therapeutically "many ways to skin a cat," that is, many ways to cure a patient; and each therapist is wedded to his particular style, his particular personality, and his interests. Therapy after all is a relationship, albeit a strange one, between two people. Whereas there are certain

rules of treatment agreed upon, certain processes accepted by psychoanalytically oriented therapists, therapy is not a rote method, and every successful treatment bears the impress of the particular therapist. Put differently, the choice to pursue heart symbolism in these cases was partly suggested by the data presented and partly a product of my own personality and interests as a therapist.

By way of answering another question that sometimes is voiced -- How did you discover three cases of heart symbolism in the process of your training? -- let me suggest that heart symbolism is probably more prevalent than we commonly realize. The heart, after all, is an organ constantly invoked in daily speech, in customs such as St. Valentine's Day, and in the pervasive use of the stylized heart shape. Undoubtedly, it appears frequently, if only in passing, during therapy. Generally, of course, the patient will mention the heart as part of an expression or word, so common in our culture, in which the heart has no striking symbolic meaning within the context. But if the therapist is attuned, he is more likely to notice when the heart is invoked in a way transcending conversation and approaching symbolism. In addition, I would argue that symbolism in general has been given short shrift in psychoanalytic theory, a fact noted by many of the writers on the subject, and in recent years, if one judges by the tenor of contemporary psychoanalytic journals, in particular. Based on my limited training experience, clinical psychology

training, for example, informs students about the latest in ego psychology or the treatment of borderline patients, and tends to pass over the fundamentals of symbolism, with the consequence that in practice students so trained are less likely to pursue symbolic messages from the patient. One might hope, that as psychology attempts to decipher and understand early child development, in which the origin of symbolism takes place, and psychotic and schizophrenic states, in which symbolism plays such a significant role, that trend will reverse.

Regardless, in these cases, with my psychoanalytic psychotherapy training and interests, pursuit of symbolism was inevitable, although heart symbolism was only one thread in the therapeutic fabric. It does seem to me that aside from any intrinsic merit, the pursuit of heart symbolism, added a certain "richness" to therapy which in some fashion was communicated to these patients. Put differently, the awakening awareness of the richness of inner life, its mystery and charm, even poetry, on the one hand, but potential for tyranical hold on the other, appears to be a qualitative message to any patient in psychoanalytic psychotherapy of this kind. However, I do not wish to minimize the effect of the heart symbolic insights that <u>were</u> used in these cases. These patients responded in some instances very dramatically to the symbolic interpretations concerning the heart or the heart symbolic hypotheses which guided the therapist.

I will proceed with these cases in the following fashion, which I have chosen to be most helpful to the reader. The cases will be presented consecutively. In each case, I will begin by summarizing the role that heart symbolism played in the case, so that the reader might get some sense of the rationale for the inclusion of the case; then I will introduce in more detail the developmental and diagnostic data concerning the patient; next -- and this has been the most challenging aspect of the presentation from the point of view of providing phenomenological data without losing sight of the focus -- I will attempt to show exactly what happened during treatment. Lastly, I will discuss the case and related issues. At the end of the presentation of all three cases, I will compare them and discuss the common elements. There is some awkwardness about this manner of presentation, in that the reader will be introduced to the heart symbolic dynamics of the case in limbo, before meeting the patient so to speak. Nevertheless, this appeared preferable, and more in the keeping of the overall argument, than beginning with the details of each case with no presentation of the rationale for its inclusion.

CASE I: ROBERT -- THE HEART AS A SYMBOL IN AN OVERLY SEXUALIZED RELATIONSHIP BETWEEN MOTHER AND SON

A) Introduction to Heart Symbolism in this Case

Robert was a 19 year old Black male, originally from Jamaica, a college sophomore taking premedical courses, who applied for psychological treatment because he experienced

great anxiety when taking examinations in school. Although there was evidence that Robert had other problems, he was very reluctant to discuss them with the intake worker at the clinic; and the worker -- who described Robert as evasive and testy about personal matters -- recommended very circumscribed therapy. "Although (he) stands to benefit from intensive individual psychotherapy," the worker wrote, "initiating and maintaining such therapy would be difficult." It was felt that in circumscribed treatment a therapeutic alliance might develop and then the scope of treatment could be enlarged if the patient desired.

There was certainly very little in the initial interview or systematic desensitization sessions for test anxiety that I began with Robert to suggest how fruitful long term treatment would ultimately prove for him -- he remained in therapy with me for over 2 years -- or how strongly he felt the need for long term treatment; nor was there anything suggestive of the role that heart symbolism would play, aside from the fact that one of the symptoms Robert experienced when he became anxious on a test, in addition to difficulty in concentrating and remembering, and sweaty palms, was palpitations. Nevertheless, Robert's case exhibited heart symbolism in profusion, and in at least three different manners.

1. <u>Interpersonally</u>, the heart as a symbol played a striking role in the communications between mother and son. In these communications, one can hypothesize that

subconsciously the symbolism was understood by both participants. That is, the referents were subconsciously appreciated, and their affectual sexual meaning known. These referents were variously, sometimes simultaneously, breast, penis, glans penis and vagina. Consciously, however neither participant was aware of the heart as symbolic, at least not when therapy began. The heart when consciously invoked by the participants either stood for itself, as a physical and vital organ, or as a "symbol" for love in the manner characteristic of Western culture. But the heart did figure in what might be called a conscious "interpersonal fantasy" shared by mother and son, which had the character of a Greek tragedy, in which the mother was "fated" to stab her son in the heart, or alternatively, he would stab her. Periodically during treatment, there was apparent danger of just such violent acting out, in which the mother held a knife to her son in the midst of passionate and screaming argument. In fact, mother and son teetered on the brink of violent acting out as if they took pleasure in seeing how close they could come to the edge without losing control.

The interpersonal relationship between mother and son, of which the heart symbolism formed a part, was a highly eroticized love and hate relationship, in which the participants were mutually dependent on one another. Whereas the heart as a sexual symbol, although used by these participants, was consciously unknown to them, one should not suppose that the objects "breast, penis, and vagina" did

not occur in the communications between mother and son. On the contrary, references to these objects, and acting out concerning them, occurred constantly. What was denied however, by both participants, was the affectual content of communications involving penis, breast, and vagina. That is, these objects were denied sexual affect -- their ability to evoke sexual feelings in the participants. This splitting of affect from a communication which patently evokes it, is hysterical in nature; and indeed, the mother's interactions with her son, were of an hysterical character, if not the product of more severe pathology. The son, in turn, did everything to defend himself from knowledge of the nature of the relationship with his mother; and thus he adopted toward her, and as a consequence others, an obsessive compulsive and paranoid style, which denied existence to any affect and approached communication literally, one might say flatfootedly, observing only the words. Given the extreme ambivalence toward sexuality implied by these phenomena, it should be no surprise that the participants often seemed to invite the very sexual interactions which were denied existence.

Nor should it be a surprise that these participants employed in their unique interpersonal drama, whatever available cultural manifestations also invoke the heart in the same way, that is as a symbol of breast, penis and vagina. As a consequence, such things as the "Dracula myth" in which Dracula must be punctured in the heart by a silver

spike to ensure his death, or a gift depicting the stylized heart shape, were used as sources of symbolic communication between mother and son.

2) Intrapsychically, Robert frequently invoked heart related imagery in his dreams and his fantasies; and also responded dramatically to cultural events in which the heart played a role. The heart symbolism had attached to it aggressive and sexual meanings, which had to be monitored, and brought to the surface of consciousness, either by direct or indirect means.

3) Archetypally, Robert and his mother appeared to be drawing upon an archetype involving the heart, particularly in "testing" situations, but tests of a far deeper meaning than the presenting one of a college examination, namely tests of whether one should overcome an incestuous and homicidal prohibition.

B) Robert: Background and Beginning of Treatment

Although the focus of our interest is the heart symbolism presented in this case, to fully understand that symbolism it may be helpful to the reader to put it into the context of the case. Here I present the material that led up to the introduction of heart symbolism by the patient, as well as provide -- with the prerogative of one who now knows many aspects of the case which were unknown at the time of the initial introduction of heart symbolic material -- general information that followed and an accompanying sense of perspective. To make matters easier to follow, I

have highlighted those aspects of the case which are particularly pertinent to heart symbolism; so that what the reader gets is a view of the case devoid of much of its complexity, and many of the intertwining threads of various themes but a case much more succinct and pointed.

Robert was referred to our clinic by a neuropsychological clinic at his college, which had tested him because he had failed to maintain the average expected of him on the basis of his high school performance and had to be dropped from an accelerated premedical program. He had nonetheless decided to continue to take premedical courses, an option open to him, in the hope of entering medical school but without acceleration. The neuropsychological report found no gross neuropsychological problems, but discovered "soft signs" suggesting learning disabilities. Robert exhibited impairment of his verbal memory and also tended to mishear. Misnamings, word substitutions, mispronunciations, mishearings and misreadings were made by him without awareness of the errors and his attempts to reconstruct what he had heard were "colored by confabulations (of which he appears unaware)." The report suggested that these learning disabilities might lead to the "emergence of paranoid trends" because Robert would attribute the mismatch between his efforts to perform successfully and the negative evaluations from external sources to the "hostile motivations of others."

The report further suggested that Robert, who appeared to be of average intelligence, might find premedical training too demanding because of the extensive memorization it entailed and would probably fare better in other professional training. Some note was taken of the fact that Robert appeared very determined, was able to concentrate on tasks and responded well to offers of assistance; but that he also appeared to be under stress, and suffered from headaches which could be attributed to his stress. Aside from his academic difficulties, the reasons for Robert's severe stress were not known.

At our clinic, Robert emphasized to his interviewer his difficulties in performing on examinations -- it was known that we had available a systematic desensitization program for test anxiety -- and spoke about his history and present situation with some guardedness. The interviewer found him evasive and testy when pressed about personal matters, in which he claimed that he sometimes did not remember particulars; but he also noted that Robert stated he expected therapy to last six months, which is longer than usually anticipated by someone who only intends to deal with test anxiety.

My first impression of Robert tended to confirm many of the observations made by both initial reports. He was a pleasant looking, polite man, well groomed in casual clothes but he appeared cautious in the extreme in answering questions and withholding of information. This tendency was

aggravated by the fact that his speech was often hesitant and confused in tense and grammatical structure, which he attributed to a difficulty he had in translating from Jamaican dialect to American English. Conversing with him was also difficult because he seemed to miss the drift, or he missed communicating crucial information in the process of telling his story. There was certainly nothing easy or spontaneous about this man, in fact my sense was of a kind of determined ploddingness. He also managed, by his seemingly unimaginative approach to our work, to be quite boring. On the other hand, I did receive an impression that had not been mentioned in the reports: maybe his hesitations, and extreme caution, were ways of controlling a terrible anger; and his seeming cooperativeness a disguise. In fact, I began to note that the errors he made had quite dynamic aspects to them, and were not simply learning disabilities.

The story he told initially can be summarized as follows. He described has early life as one of extreme poverty. He lived with his family in Jamaica, and he had vivid memories of not having enough food to eat, and being punished for trying to take food from his sister, who was three years younger. None of his family were well educated; and when he attended school, his Jamaican dialect was subject to ridicule by the teacher who spoke British English. Whereas prior to school he was somewhat protected at home, the neighborhood in which he lived was exceedingly

rough, and he also had vivid memories of his fear of his classmates. His father, toward whom he expressed devotion and loyalty, was a housepainter by trade. He had, however, separated from his mother, for reasons that were unexplained, when Robert was five years old. Subsequently, Robert would often visit his father who lived near, in fact could not wait to return home from school, drop his bag off, and go to his father's home. But Robert felt cruelly disappointed by his father, for a number of reasons. For one, Robert found himself, after his father was gone, subject to many beatings by his mother, grandmother and aunt, with whom he lived. He seemed to be the child who was picked upon; whereas his older half-brother, by his mother's first husband, was considered the obedient child. Robert kept hoping his father would protect him or rescue him from this situation, but he never did; and in one instance, even brought him back home to be beaten. Further, one day, when Robert was seven years old, he found out that his father had simply moved away without leaving his address. For two years, he hoped to be able to find him; until one day, when he was nine, he followed a parade and by chance arrived in his father's neighborhood, seeing him in front of his house. The relationship then resumed, as if nothing had happened.

When Robert was eight years old, his mother moved to New York City, leaving him and his half-brother with his aunt and grandmother; while his sister stayed with a godmother whom Robert characterized as wealthier and nicer.

The aunt and grandmother continued to beat Robert, and to prefer his half-brother to him, and were quite open, just as his mother had been, about this preference. A number of years later, his mother returned, and then when Robert was thirteen, the entire immediate family -- his mother and siblings -- moved to New York City. His mother obtained work as a nutritionist's aide at a hospital; Robert, at the time of beginning treatment, had a part time job for twenty hours a week -- where he had worked for a number of years -- at a local fast food restaurant. By this time, his relationship with his mother had changed dramatically. Now he was the "good" child, as his brother had gotten a woman pregnant, married her, quit school and left home. Openly disappointed in her oldest son, his mother almost daily adjured Robert to avoid making the same mistakes, and to continue in school. Robert claimed to be somewhat puzzled by the reversal in roles of his brother and himself; but he noted that he and his mother "agreed on most things" now, and he intended to stay in school. He was determined to become a doctor, although he was aware that he exhibited particular ability only in Chemistry, and had difficulty in other subjects. He found work in college dramatically harder than in high school, and felt unprepared.

Certainly, aside from whatever intrapsychic problems Robert might have, this story explained at least in part where his sense of stress came from. Here he was in his second year in college, the only family member to have been

educated so far, and his mother's love appeared dependent upon his ability to continue in his education. Further, it was not difficult to see that Robert was identified, in the social dynamics of this family, with the father who had left, and that aggression toward the absent father was directed by other family members at Robert as the more vulnerable and more available substitute. Not only did this identification explain the scapegoating to which Robert was apparently subject within his family, the origin of which Robert was not yet able to consciously comprehend; but it added a still further determinant of his feeling of stress. His father, toward whom Robert felt consciously so loyal, but about whom he was evidently so ambivalent, was uneducated. He was even now, incidentally, pleading with Robert to send him money. Robert's attempt to become educated represented a step away from his overidentification with his father, and it required him to begin to acknowledge his painful ambivalence. His defense, which appeared to be that he was injured by others for reasons that must be good ones, if only he could comprehend them, was no longer sufficient to ward off his angry feelings toward his father. No doubt all of these concerns contributed to his tenseness in taking examinations, his memory blocking at those times at least, and his general feeling of stress.

I am getting a little ahead of the story, because Robert began treatment in systematic desensitization with me, which was carried out for twelve sessions, with very

favorable results: The palpitations and anxiety he experienced on tests were considerably reduced; and only gradually did this story, which even then was not overly depthful, emerge. The systematic desensitization presented certain problems in transference, when Robert then expressed the wish to continue in long term treatment, but we need not go into that here. However, I do wish to mention one point about it that is pertinent to the heart symbolism that subsequently emerged. It appeared clear that Robert had homosexual concerns, which were mobilized by systematic desensitization in which patient and therapist join in a relaxation routine, and he announced those concerns by mentioning that he felt embarrassed reading Genet's Journal of a Thief on the subway.

Once psychoanaltyic psychotherapy got started in earnest, two themes quickly emerged, both of which are pertinent to our discussion:

1) Robert clearly was a very lonely individual, who seemed unable to establish relationships with women. Attempts that he made resembled those of a lawyer, trying to deal with an adversary. He seemed determined to follow only the verbal words of the woman he approached or who approached him; and he took as a commitment for a long term relationship the most innocuous of casual talk. About these words, he obsessed over and over. Invariably, even when the woman was expressing interest, he attempted to pin down exactly what she meant by each statement she made; and

accused her of deceiving him, long before any true relationship had started. Invariably, as well, as a consequence, no relationship did start. From me, he wished to receive advice about how to relate to women; in particular, he seemed to want lessons in how to get a woman to sleep with him, although he asserted that when he was much younger, in Jamaica, he had sexual experiences (which sounded like sexual play) with girls his age.

2) Robert felt terribly emasculated by his mother. He was the one at home who did the dishes, sometimes cooked the meals, and cleaned the house; and his younger sister was permitted to avoid her chores by his mother. Similarly, at his work at the fast food restaurant, he was the one employee, admittedly the one there the longest, who ended up performing the essential tasks, while the others tended to permit him to do them. These tasks, too, involved cooking and cleaning up.

To these themes, Robert finally felt comfortable enough to bring in more dynamic material. The first occurred when he came in with great distress to say that he had almost stabbed a fellow employee. The employee, a younger teenager, never did his work, letting Robert do it for him, and appeared to enjoy kidding Robert about how "uptight" he was, and how serious he appeared. Robert kept on telling him to stop, but to no avail. Finally, he lost control, grabbed a large kitchen knife, and went after him, only to be restrained by a woman employee who told him, "He isn't

worth it." Robert was horrified afterward, and very fearful that he would lose control again. The importance of the particulars of this incident, especially the use of the knife, to subsequent treatment will shortly be seen. However, for the moment, it confirmed the fact that Robert only managed to control his intense anger at others by great effort; and that it was essential in treatment that his ambivalence toward others in general become verbalized. The incident served to release new information. Robert remembered a number of times in his childhood, when he had hit other children, once with a hand held rock, and caused injury. In addition, he recounted how even now his mother beat him, despite his age and size, and that he never struck back. Instead, he backed up to a wall, and let her strike his body. Robert remarked that at these times, as during the incident at the fast food restaurant, he was conscious of his heart beating rapidly; and he was reminded that he felt very similar when he was in the midst of an examination at school. This last piece of information appeared crucial for two reasons: It suggested that the source of Robert's test anxiety lay in some unconscious association, or put differently, that the process of taking an examination had acquired a symbolic value which related, in some fashion, to Robert's interaction with his mother. What appeared most likely was that doing well in a school test had become equated in Robert's mind with being obedient and acquiescing to his mother's demands. Some of her demands, such as

doing well in school, were reasonable but others were castrative. If he performed well on the test, the association was that he was not being a man -- he was being womanly.

It also appeared that the incident with the employee was a general, unconsciously directed announcement by the patient to the therapist (as so often happens at the beginning of treatment) that the source for Robert's need for extreme control lay in his fear that he would explode, and act out aggressively, with the original object of his aggression being his mother. It should be noted that Robert's initial inclination after recounting the knife incident was to use systematic desensitization to gain greater self control, rather than risk analyzing his anger. (It would be interesting here to speculate about what this suggests about the effect of systematic desensitization to the exclusion of in depth treatment, but that is beyond the scope of our discussion.)

Unbeknownst to me, the provocative actions of Robert's mother that he now felt comfortable enough to relate, were only the very tip of the iceberg. For the moment, however, they required immediate intervention, so that on the advice of my supervisor I made an active effort to explore with Robert exactly what he thought his options might be when his mother hit him, rather than simply allowing himself to be hit. This approach eventually resulted in his decision to hold his mother's arms, as she tried to strike him, and tell

her that he did not want to be hit, and that he was too old for her to administer this kind of punishment. Fortunately, her behavior of this particular kind ceased as a consequence, but -- as will be apparent -- the problem of aggression between mother and son was hardly solved.

Second, and in a sense related, Robert told me, with great emotion, that two years previously, he had discovered his then 14 year old sister in bed with his mother's boyfriend. He and his brother, who was then still living at home, proceeded to beat up the boyfriend; meanwhile his sister, hid in the bathroom and would not come out. When they broke in, they discovered her collapsed on the floor, having taken an overdose of pills. She was rushed to the hospital and recovered.

But Robert's distress and anger about this incident were aggravated by the fact that his mother only banished the boyfriend for a while, and then invited him to return to their home, where he <u>still</u> resided, although his behavior with the sister had apparently ceased. His mother, in making her explanations for inviting him back, suggested that Robert had not correctly perceived what was happening in the bedroom at the time of the incident. This infuriated Robert because it indicated to him that his mother was prepared to take her boyfriend's word against his. In volunteering to me the information about this incident, which he did taking a deep breath and stating, "I knew I would have to tell you this," he was also asking me whether

it had been manly of him to permit his mother to invite her boyfriend back into the house, or to continue to live under the same roof with him. Whatever else this incident revealed, it suggested that not only was aggression an issue in this family, but that a confusion in sexual boundaries existed. Again, I could not yet know how accurate this observation was, or how severe the confusion, largely because Robert was very cautious in confiding the extent of the problem. In all of this, however, it would be hard not to have deduced that Robert's mother appeared to have pronounced psychopathology.

C) Prelude to Heart Symbolism: Fantasies of Aggressive and Sexual Interaction with His Sister

How far we have come from the beginning of therapy with Robert, in which he was so guarded and expressed the wish to confine his treatment to the problem of test anxiety! Whereas the early sessions as a group tended to focus upon Robert's relationship with his father, and his competition with his brother for his mother's affection, the introduction of this last incident inevitably and slowly turned the focus toward Robert's relationship with his sister, and then with his mother. In addition, the sessions began to change in quality; increasingly Robert, who had seemed so unimaginative and boring at the beginning (a product of his need to exercise control) explored his ambivalence toward family members in determined psychodynamic fashion.

In summarizing the sessions that follow, which I denote as a "prelude to heart symbolism," it should be clear that the focus of our attention is heart symbolism. As a consequence, much is left out of these sessions, which is of importance to the treatment, but not to the issue under discussion. In these "prelude" sessions, no mention is made of the heart by the patient although as therapist, I thought about the heart as a consequence of the material; but a variety of themes were introduced by the patient which led, inexorably, to heart symbolism. These themes, growing in large part out of the patient's attempt to process his ambivalence toward his sister, included: the patient's castration anxiety, his aggressive and sexual wishes toward his sister, aggression directed toward the "chest" of individuals (using for the moment the manifest content), and the patient's view of his phallus as murderous.
There is also an overriding theme concerning things hidden and revealed or put differently, concerning the danger of uncovering, which applies to the particulars of treatment as well as the process of therapy itself.

Robert's attitude toward his sister was protective on the one hand, and envious and jealous on the other. He was angered that she was spoiled by his mother at home, and did not do housework, which invariably fell to him. But he was also concerned that she was not doing well in school, and that his mother's spoiling her was not only aggravating to him but injurious to his sister. Once he was able to sort

out these feelings, he could legitimately, and without the incapacitating guilt he felt about his aggression toward sister (and mother) assert himself by insisting that he would no longer do his sister's share of the work at home. This successfully accomplished, it had the effect of releasing an underlying anxiety: that he was the female child in the family, who did the housework; in other words, that he was castrated. With that anxiety mitigated by the reality that he had asserted himself, he could pursue some of his sexual feelings involving his sister, which were extremely aggressive. It should of course be seen that the necessary concommitant of castration anxiety, is the wish for the penis to be an aggressive instrument, which hurts others; when one deals with one element of this imbalance, the other element is bound to surface. Robert was manifestly concerned about his sister's sexuality, but the manifest reason was to protect her, as he wished to protect her from his mother's boyfriend or from her current boyfriend, whose name interestingly was also Robert, whom he was afraid might get his sister pregnant. But, as he began to realize, his interest in his sister had subconscious motivations which were not protective.

Thus, in the sixty second session, Robert came in with a fairly transparent dream, which was:

I HAD INTERCOURSE WITH MY SISTER WHEN SHE HAD HER PERIOD.

Robert by now had revealed himself to be psychologically minded, and we arrived fairly readily at one obvious conclusion from the dream: If his sister had her period, he could have intercourse with her without getting her pregnant. From here, Robert was able to make some fairly perceptive remarks about his increasing recognition that at least one aspect of his intense emotion concerning his sister and his mother's boyfriend, was a product of jealousy; and that some of his overprotectiveness (which sometimes involved invasions of his sister's privacy) was a disguise for sexual interest in her. Because another very likely theme in this dream was castration anxiety, I hazarded a remark to Robert to the effect that sometimes a childhood belief is that a period is a sign that a woman has lost her penis, but nothing appeared to come of this observation.

Besides, Robert already had made good use of the material he presented. In fact, in the next session, he offered some information which had not been initially known (although I included it in the introduction here for purposes of clarity) which was that he had not lived with his sister from the years of 8 to 11. This led him into a discussion (prompted by the clinic being closed for part of the winter holidays) of the feelings concerning separation from a loved one. I took his ability to talk about his anger and fears in separating from me, and combining them

with his feelings concerning his sister's separation from him and return, as a good prognostic sign.

A number of sessions after the break (session 69), Robert brought in two dreams, which now began to work in earnest on the underlying aggressive and castrative theme suggested in the previous dream. The dreams were:

> DREAM ONE: I FIND MY SISTER IN OUR APARTMENT. SHE IS LYING ON THE FLOOR ALL BATTERED AND BRUISED, ONE FOOT BLOODY. OUTSIDE THE WINDOW, I CAN SEE A PORNO MOVIE HOUSE (WHICH IN REALITY DOES NOT EXIST THERE).
>
> DREAM TWO: I COME UPON A MAN IN THE STREET WHO IS IN A CAR ACCIDENT, AND IS LYING PARTLY UNDER THE CAR. SOMEONE COMES UP AND KNIFES HIM IN THE CHEST. I SEE THE CUT AND A BIT OF BLOOD.

At first glance, the dreams appeared to me to be related. The first dream seemed to represent an aggressive view of intercourse, directed toward his sister, and the second I thought might represent a superego punishment on himself (he was then thinking of buying a car) for his incestuous and aggressive wishes. In addition, it appeared as if the dreams might be related to the time that Robert's sister tried to kill herself and was found collapsed in the bathroom.

Robert was presenting so much material at this point (he attempted to introduce four dreams into this session) that it was clear that he was exhibiting a resistance of another kind, moving from reticence to compliance which by

its overproductivity threatened to prevent in depth probing of any one dream. Nonetheless, he made good use of the session, because he was so aware of the affect that attended both these dreams: He was upset at how violent the dreams were, and in particular at the image of his sister bloody and battered. Fatalistically, he told me he was convinced his sister would die in a car accident; thus here he was combining the two dreams just as I had done initially. (Combining dreams -- which in my limited experience can happen frequently in treatment -- is a way of recognizing that the theme of two separate dreams are related. Exactly what is the process whereby two separate dreams are created, rather than one dream, is an interesting issue, aside from possibly being evidence of resistance, but is beyond the scope of our discussion. As will be seen, this type of limited dream series can also lead to dream interpretation, by either patient or therapist. Freud was not sanguine about such an approach; but it has the virtue of focussing on what has gotten by the resistance while granting to the resistance its particular mode of expression in presenting many dreams.) Because the second dream reminded him of seeing his sister on the floor in the bathroom when she committed suicide, he wondered whether the person under the car was his mother's boyfriend. When I asked him why his sister had a bloody foot, he could not answer, and I desisted from making an interpretation of

foot=penis, because I did not think he would be receptive to it.

In fact, it was the affect accompanying these dreams, and his feelings about them afterward, rather than a detailed analysis of them, that finally led to some resolution. He was reminded by the second dream of how he almost knifed his fellow worker at the fast food restaurant, and he began to wonder about his aggressiveness. This led him to ask himself what his motivation was in wishing to become a doctor. How much of his need to "rescue" people, such as his sister, was the product of a wish to undo his aggressive wishes toward them? This insight represented a significant relaxation of Robert's overly repressive defenses.

On another level, although the details of these two dreams were not fully developed in this session, I had wondered to myself whether there was a theme concerning things partially hidden, in the man being partially hidden under the car. I also wondered whether the man being knifed in the chest, reflected an aggression ultimately toward the mother's breasts, but there was little to confirm these hypotheses. Nonetheless, the themes of hidden and unhidden, and of aggression toward the mother's breast, became significant to the heart symbolism that developed.

Two sessions later, Robert brought in an elaborate dream, which in its analysis took a number of sessions and moved therapy along dramatically. In presenting the dream,

I have underlined those portions of it which played a particular role in the developing heart symbolism:

> I AM IN A CLOTHING STORE WITH ALICE BUT IT IS AN OPEN STORE, THAT IS THERE ARE NO WALLS. MY SISTER AND I ARE DANCING. THEN THERE IS A BLACK TREE IN THE STORE, AND I SEE A BLACK WOMAN -- ALL BLACK, I CANNOT EVEN SEE HER FEATURES -- JUMP FROM THE TOP OF THE TREE. SHE DOES NOT HIT THE GROUND BECAUSE THE GROUND KIND OF FADES AWAY. THEN I TRY TO KISS ALICE BUT SHE DOES NOT WANT TO BE KISSED.
>
> THEN SHE IS LYING UNDER MY BED, WITH ONLY HER NAKED TORSO SHOWING. I THINK SHE IS DEAD AND PULL HER OUT FROM UNDER THE BED. SHE IS NOT DEAD. AND I LIE IN BED WITH MY SISTER ON ONE SIDE AND ALICE ON THE OTHER. ALICE IS ENTIRELY NAKED, AND SHE HAS ONE FINGER IN HER MOUTH AND ANOTHER FINGER IN HER VAGINA.

Alice in the dream was one of Robert's erstwhile girlfriends (who worked in a clothing store) with whom Robert had a typically superficial relationship about which he repeatedly obsessed. A dream as elaborate as this, requires one to pick and choose, and although I noted to myself the theme of covered and uncovered, the focus of my discussion with Robert was not on this theme. After all, Robert was doing good work in analyzing his dreams, and I had no wish to divert him or to have the appearance of trying to outshine him as an interpreter. It was interesting, however, that when I asked him to recount the

dream a second time (something I do both to remember the dream myself and to determine what a patient will change or add as a result of the second account as reflective of more repressed parts of the dream) Robert remembered the clothing store sequence, which he had initially forgotten.

Robert then proceeded to work with this sequence, remarking that he frequently went shopping with his mother, but he felt uncomfortable when he did so, and telling me that the store in which Alice worked was the same as that in which his old girlfriend worked. Both of these associations were castrative in nature, for his old girlfriend had disappointed him deeply, and going with his mother to the store apparently made him feel childlike or womanly with her. Thus, when he associated to the department store without walls, it was not surprising to hear him say that he thought of "coming out of the closet" -- that he had now begun to speak to me about his homosexual wishes and thoughts.

Because it was such a striking element in the dream, I asked about the tree in the store. He remembered that when he was very lonely as a child in Jamaica, he would go up in a tree in the back yard, and stay there for hours day dreaming about cowboys and Indians. I asked him whether that meant that he pretended to shoot. "Yes," he replied. In fact he shot at the people down below, who could not see him there. (Again, one sees juxtaposed castrative and phallic aggressive themes; as one theme is articulated the

other is invariably announced.) Then he said, "You know, I lied when we were doing systematic desensitization, I did not use as an image the beach scene that you talked about; instead, what I thought about was being up in that tree." (Probably his discomfort about using beach imagery for relaxation was determined in part by a defense against the homosexual thoughts that were provoked by systematic desensitization; but more importantly, his ability to tell me now that he lied represents an expression of increased trust in me.)

Robert then wondered whether the black woman falling from the tree represented his mother, and a wish for her death; if she died, then he could have intercourse with his sister. Perhaps he wished for the suicide of his mother. Here I remarked, as the consequence of a feeling that he was avoiding some material, that the only person whose attempt at suicide he had recounted was his sister, and that previously he dreamt of her being injured. At the end of the session, after discussing other matters not pertinent here, I decided to hazard a symbolic interpretation and remarked that a tree often is a phallic symbol. (I did so because the dream image of the woman's jump from the tree, which he took much time describing once he recalled it, struck me as very graphic and so clearly phallic; because of the repetition of the black color -- as if symbolic of death or of his own dark colored penis; and because previously in the first dream he brought into therapy he analyzed a chocolate stick

with vanilla icecream on the top as a penis and semen suggesting both his ability to deal with symbolism and the pervasiveness of the phallic theme.) In response to my interpretation, he wondered to me whether he considered his penis, "evil, black, an evil instrument," and I found myself thinking "murderous" would be more like it.

Apparently, this was the right ending note; because in the next session (session 72) Robert began right away by recounting how he used to think that there was something wrong with his penis. When erect, it leaned to one side; and when he was younger the "head" -- he asks for the proper term -- the glans penis showed a bit (!) as the foreskin did not entirely cover it. In fact, his brother used to make fun of him because of that to his friends. Thus, we have confirmed here the theme of covered and uncovered, the partially covered human bodies in the dreams being determined by a substitution of body for phallus and by the penis with a foreskin that partially covered it. In addition, Robert told me for the first time, that when he masturbated, or had an orgasm, it was painful. He wondered to me whether he should go to a doctor about it. As I thought the pain was probably psychologically induced (as it proved to be) and he was expressing a wish to show his penis to me, as the doctor, I did not respond.

Then Robert returned to the series of dreams. He remarked that there seemed to be a connection between the man lying partly under the car in his previous dream,

and Alice whom he thought was dead in this dream. I remarked about other similarities as well: The man in the dream was "knifed in the chest" and Alice's "naked torso" was showing. Now in other words, for the first time, I began to focus on the hypothesis that had been on my mind about chest being a euphemism for "breast" and certainly "naked torso" being a way of the patient avoiding saying "naked breasts." The patient, by connecting the man lying under the car with Alice, had given me a logical way of making my interpretation.

I observed to Robert as well that there seemed to be some theme throughout these dreams of covered and uncovered or seeing and not seeing, and I marshalled the evidence in a somewhat lengthy interpretation. I concluded with a remark which had just occurred to me as I was speaking, which is that it is almost as if the "act of observing itself is associated with violence," mentioning as examples the fantasies he entertained as he observed up in his tree, and the man who was observed under the car and then stabbed. (I have, again in my limited experience, frequently found that in the act of making an interpretation, one suddenly realizes what it is that is further implied. In opposition to this, there are some schools of thought that one must think about an interpretation and deliver it as rehearsed in one's mind, and forgo such spontaneity. I take these sudden realizations, however, when in the act of making an

interpretation as a tentative confirmation of the hypothesis, which are often particularly worth including.)

D) The Mother Becomes The Focus: Heart Symbolism Entertained by The Therapist

As a therapist, I had already begun to think about heart symbolism as a consequence of the issues and events discussed by the patient. After all, many elements connected with heart symbolism were present, perhaps most graphically, the patient's dream of stabbing the man in the chest (where a part of the body to which interest was probably, even consciously, directed was the heart -- although the patient made no mention of this). The fact that this dream followed one in which the patient had intercourse with his sister during her period, strongly suggested the concept of the penis as an aggressive instrument, that drew blood, specifically the phallus=knife equation, as did the general drift of the therapy, in which the patient had concluded that perhaps he thought of his penis as evil; and the phallus as knife equation is a frequent concommitant to both vagina=heart equation and breast=heart equation. Further, the theme of covered and uncovered, which had so poignantly been confirmed when the patient mentioned his concern about his glans penis as a child, is one to which the heart is often associated. As indicated in Chapter Four, the glans penis=heart equation has its genesis in exactly such unconscious thoughts. Lastly, of course, it must be remembered that this patient came to treatment in

large part because of his test anxiety and fear of losing control, both of which had palpitations in common. Certainly, many of the symbolic elements, discussed in the previous chapter, were present to suggest heart symbolism as a possibility. But the fact was that although these thoughts of mine guided my interpretations in establishing possible dynamic links, and I played with the heart symbolism hypothesis, there was simply not enough in the patient's remarks to justify heart symbolism yet as an overriding hypothesis for use in treatment. Besides, why be concerned with the heart as a symbol, when the patient had not manifestly invoked it, and seemed capable of getting to such referents as penis, glans penis, and breast through other symbolism? In opposition to this, however, was one fact that was strikingly true, which is that the hints I had taken from the patient, combined with my knowledge of heart symbolism, had guided the patient into revelation after revelation, in a logical manner. Thus, I kept the heart symbolism hypothesis in the back of my mind, noting how -- with the inexorability of psychological process (when we are able to understand it) -- the theme might well be developing on its own.

As it happened, Robert's revelation in the next session certainly fit the dynamics of the case as I conceived of them; but its violence and drama were very much unexpected. Robert began the session, by telling me that his mother had been reacting angrily to his recent assertiveness, and had

threatened to make him leave her apartment; and he knew that she was going to kick him out soon. As he began to articulate his own anger toward his mother, he switched rather abruptly to another (and related?) topic. Over the weekend, he had gone to a pornographic movie on 42nd street, and then to a nearby massage parlor, where he had intercourse with a prostitute. This is the first time that Robert had an experience of intercourse since beginning treatment, and thus in itself it was significant. But I observed to myself how quickly he got into details of this experience, and how he avoided talking about his anger toward his mother. When the opportunity arose, I noted this to him, and wondered whether there was something involved in his feelings of aggression toward his mother that he wished to avoid discussing. He agreed. And then he told me: "Sometimes, I worry that she will kill me." "Kill you?" I inquired. "Yes," he said, "sometimes she threatens me with a knife, holding it against my chest." "Your chest?" I said, seeking to emphasize what had been a topic of conversation for a number of sessions. "Yes," he replied, "My chest or my stomach." He then recounted how his mother over the years has done this (with a large kitchen knife), in the midst of screaming at him; and that it was almost as if she were challenging him. Sometimes, she claimed that <u>he</u> would be the one to kill her. During her tirades, he attempted to remain as calm as possible.

After he finished telling me of this, he returned spontaneously to his experience with the prostitute, and -- upon questioning by me -- he recounted that the prostitute began by sucking his penis and then he had intercourse with her from the rear. He mentioned in addition how he wanted to touch her breasts, which remained covered, but that she told him he would have to pay extra, which he refused to do. Although he minimized the importance, he told me that the prostitute, on his worrying that perhaps he ejaculated too quickly, assured him that this was not the case.

Before commenting about this session, which was obviously an important one, it may be helpful to the reader to wait until the next session, for that, in a sense, represented a culmination of the sessions I have so far recounted (prior to the explicit introduction of heart symbolism). Let me just note, as the reader has no doubt observed, that this session, in its juxtaposition of topics, speaks volumes. Robert talked about his mother threatening him with a knife in the same session as he talked about having intercourse with a prostitute. The meaning of this in terms of Robert's thoughts about sex as an aggressive act, or his sexual and aggressive wishes toward his mother, is apparent. In addition, as before, each time Robert brought up a castrative theme (a mother threatening one with a knife is palpably castrative, in which the mother is the phallic woman), an aggressive phallic interaction or desire of Robert was also announced. This "balancing" continued,

almost as a dialectic, because both concerns stem from the same issue: his castration anxiety.

In the session after this one (session 74), Robert told me that he had been taking examinations for the past week at school, and they were over. Interestingly, he had neglected to mention this fact to me previously (we have come a long way from "test anxiety" days). However, he is amazed at his reactions: He has been ravenously hungry, and cannot stop eating. He wondered to me whether he should "go to a doctor" because he was eating so much. I told him that this was the second time recently that he had brought up this issue of "going to the doctor," and he responded (following me without a hitch) that the pain from orgasm is no longer a problem! When he had orgasm with the prostitute, it did not hurt. (Unbeknownst to me, "going to the doctor" has more meaning based on his history than the one as yet apparent.) I then suggested that perhaps there might be something psychological rather than physical about his hunger too. He was not certain about this, but when he made a slip, saying "angry" instead of "hungry," I pointed it out to him. He responded by saying that he often associated the two feelings, attributing this to the fact that he was often so hungry growing up, and angry at the same time, because "they" (his mother, grandmother or aunt) would not permit him to take more food.

Robert then returned to something that he said he had been thinking about. In the previous department store dream,

he had not mentioned since he told it to me, the part in which he tried to kiss Alice but she rejected his embrace. Now he wondered why he left it out. As he spoke of this spontaneously, he associated to coming on the subway to the session, and observing a girl with a t shirt that read: "I'm a virgin, but this is an old t-shirt." Really, he admitted, he has had sex infrequently since his early sexual experiences in Jamaica and perhaps this is why he forgot that part of the dream.

Robert had arrived by his own efforts at what seemed to me to be the core of this lengthy dream: his rejection by a loved female figure that was embedded, as if incidental, in the middle of the dream. It is at this point that I offered a lengthy interpretation which had the purpose of trying to focus Robert upon his relationship with his mother, which it was increasingly becoming apparent lay at the sexual and aggressive core of his anxieties. My interpretation was as follows: For the last five or six sessions there had been a theme throughout of oral frustration and aggression, that seemed to have as its source, the mother's breasts. I marshalled as evidence, the numerous instances in which breasts, chest, torso, had been at issue (including that with the prostitute), and the anger directed at the breasts. I noted how he suddenly felt great hunger after completing his examinations, and apparently associated hunger with anger. It was almost as if the tests acted as a frustration to his oral aggression, and once he had completed the tests,

he felt he could fulfill his oral needs. I showed him how it was logical for him to return to the dream at this point, for he spoke about another oral frustration, the rejection of his kiss. That Robert, who at first did not follow, was open to this interpretation became clear from his remark once he understood what I was saying. He observed that perhaps this was the reason he brought up the girl on the subway, who was wearing a t shirt, with lettering across her breasts about being a virgin.

E) Heart Symbolism Becomes Explicit

One can observe, developing so far, a psychodynamic context in which heart symbolism is implied but certainly not explicit. The most obvious symbol has been the knife, which has functioned as an aggressive phallic symbol, in the dreams and thoughts of the patient, and has been directed at times toward the chest, and by implication, toward the heart. In addition, Robert has been articulating an obsessive oral aggression against his mother's breasts. Further, there is severe castration anxiety, and emphasis upon blood. All of this began with test anxiety, accompanied by palpitations, and Robert's feeling, also accompanied by palpitations that his mother is presenting him with a test (of his manhood) when she threatens his chest with a knife. Thus, one can see the possibility of such heart symbolic equations as heart=vagina and heart=breast in the material; but the patient as yet has not suggested that this particular symbolic motif is manifest in

his intrapsychic processes or in his relationship with his mother.

In addition, I found myself at this point in Robert's therapy particularly aware of the fact that the theme of covered and uncovered played a strong role in heart symbolism, as discussed in Chapter Four, and that it applied to the heart as penis and as glans-penis. Robert had already discussed how his brother ridiculed his penis as a child, because the glans partly showed; and it appeared that the partially visible glans had been symbolized by the partially visible human body in the patient's dreams. Would the heart, too, become symbolically involved in this theme?

During the next sessions, Robert spoke much more readily about his aggressive wishes. He brought in a thought that had occurred to him coming to a session, of pushing an old woman down the subway steps because she was going too slowly; he told me that he was "always thinking of war games" and then talked so vividly about elaborate events of which he repeatedly daydreamed, such as being in a helicopter in the Vietnamese war, that for a moment I thought these were real events. He also talked more openly about sex as aggressive, mentioning his fear of becoming involved with women, and how Jamaican children would talk about a vagina with teeth.

In the eightieth session, the patient told me that his mother had bought him for his twentieth birthday two presents which had angered him: They were two "briefs."

One had no slit in the cloth for his penis and looked like "a girl's brief." It was covered with red hearts. The other had an opening for his penis, but said: "By appointment only." His mother insisted on seeing him model them; so he put on the heart bedecked pair and his mother and sister observed him in it. His sister agreed with him that it looked like a girl's brief, at which point he returned to the bathroom, removed them, and put on his pants, refusing to "model" further. His mother became furious at him for listening to his sister. If this were not enough, his mother also became angry at him later on. She asked him whether he would, when she was an old woman, "wipe the shit out of her vagina" for her -- that is, when she was incontinent. He responded that he would ask his sister to. At this, his mother accused him of not really caring for her or loving her.

I have in my notes, after this session, the comment: "Here is the tragedy of an overly eroticized parental relationship," and also the further note that "the extent of the pathology of the mother is becoming more apparent." The tragedy, of course, lies in the fact that the incestuous dynamics here are no longer one sided, but have become part of the son. During this session, he commented, poignantly, that "my mother is too involved in my sexuality and won't let go of it." When I highlighted what he said, by repeating, "Won't let go of it?", he laughed, for indeed, it was as if his mother physically held onto his penis. In the

history that developed, there was some question as to how far from the truth this was.

To return to the incident of the two briefs. One can see in this gift a striking compromise formation. The mother's apparent wish is to see her son's penis, but since that wish is unacceptable to her ego, she worked out two compromises represented by the two briefs. First, she bought a brief that covered up the penis but expressed her wish to exercise control over it, by choosing the words "by appointment only" for the outside of the brief. (One knows whom she unconsciously envisions as her son's appointment secretary.) Apparently, though, this is not enough, perhaps because -- although she articulates the possibility of seeing the penis in this brief -- there is no representation of it. So she also has a second pair of briefs, which have no slit for the penis, and which look feminine, yet have a visual subsitute, a symbol, of the penis: namely the stylized red heart shape. The son's perception that perhaps his mother's hidden wish is to do more than just look at his penis, that is cut it off -- as she does symbolically in the feminine appearing brief-- undoubtedly is correct. One might, legitimately, suggest another determinant that has contributed to her choosing two briefs rather than one: Perhaps she has the fantasy of showing off a part of her own anatomy, namely her two breasts.

Certainly, she brings up the wish to have her son see her vagina in her asking him whether or not he will clean

her genitals when she is older and incontinent. Her hysterical, and one might add almost defiant, denial of the sexual aspects of her interaction with her son, and her concommitant obsessive interest in the genitals, indicates how successfully she has managed to split the sexual affect from the sexual objects in her relationship with him. No wonder her son, in trying to survive psychologically, must resort to a similar splitting off of affect; and to a rigid adherence to the words of human interaction, rather to the other aspects of human interactions such as gesture and inflection of voice. His mother's words are of course at a striking variance to her actions; her words deny sexuality.

Lastly, one can legitimately wonder what such a choice of birthday presents says symbolically about the mother's feelings concerning the birth of this son. As a possibility, I would suggest that there seems to be -- by the emphasis on the phallus -- a symbolic equation here in which the son emerging from the womb is compared to the phallus, emerging from the briefs. Put differently, symbolically her son <u>is</u> her missing phallus whose loss she is not reconciled to; no wonder she must attempt to control him so thoroughly: He <u>is</u> her sexuality.

In the very next session, Robert tells me that his mother has kicked him out of the apartment. He had done the dishes at home, but when his mother told him to mop the kitchen floor, he refused, saying he had homework. She became enraged. She poured a liquid detergent called "Top

Job" into the pot of rice he had prepared for himself, and she said that she would call Alice to ask her whether she approved of the way Robert treated his mother. Robert said to himself that "I'll kill her if she does that." His mother started yelling at him, telling him to leave her home, and he left. From the bottom of the staircase, he saw her with a kitchen knife in her hand, still yelling at him.

The timing of this incident between mother and son of course is crucial; it reflects the ambivalence of the mother about his birth, and her inability to separate from him. Symbolically, she rejects him at a time associated with his birth, and she also "poisons" his food -- that is she symbolically presents him with a "poisoned" breast. The poisoning theme is really a continuation of the question she asked him previously, in which she had a "poisoned" vagina. He is associated in her mind, and his birth, with excrement. All of this evident self-disgust and hatred, directed toward her son, it must be emphasized is also highly ambivalent. She can only let go of this child by metaphorically killing him.

Robert attempted briefly to live at a friend's home, but he found, to his surprise, that he could not exist without his mother -- he needed her too much. Very quickly, he returned to living with her, and not surprisingly she accepted him back. He did manage to articulate to her some anger he had not previously articulated. Intrapsychically, there also appeared to be dramatic change in Robert.

Transference to me as the mother-figure became quite intense. In addition, a great deal of what Robert now related appeared to come from earlier in his childhood and was associated with gastrointestinal symptoms. (The same features occurred in the second case when the patient began to process his early ambivalence toward the mother figure.) In fact, in the remainder of the above session, he recounted a dream in which a young Puerto Rican girl (whom he associated to the prostitute) rejected him, but then offered him a paper plate filled with rice, which he in turn rejected. Although Robert was unable to make the connection, this dream appeared to represent not only a wish that the prostitute reveal her breasts, symbolized by the white rice, to him and he reject her, but the wish for someone other than his mother to offer him the breast. He did contend that the white plate of white rice represented his wish for a virgin.

In the next session, Robert made unusual physical movements during the session -- sitting on the edge of his chair. Such movements suggested a great deal of nonverbalized material, and even some loss of ego control, but when I wondered why he sat on the edge of his chair, he could not explain. I suggested on a hunch that it was the position of sitting on the toilet; he associated immediately to the "chimney pot" he used as a child -- the child's substitute toilet -- and told me for the first time that he had stayed on it much longer than other children; until he

was seven years old! He associated the whiteness of the pot to the white plate of rice. Robert also told me that he had been to a movie called "Looking for Mr. Goodbar" in which the heroine is stabbed in her chest by her partner while in the midst of intercourse with him, and killed. His excited and fearful reaction was so great that he felt his heart beating, and he thought afterward that he must have been "primed" for this scene by things in his own life. He thought that his fantasy was really to stab his mother in her chest. All of these actions -- the quick acceptance of my association to toilet and the admission of his aggression toward his mother-- suggest the release of long held in anal rage.

F) Heart Symbolism Interpreted

I had not as yet interpreted the heart symbolism that now appeared more and more tangible in the relationship between this patient and his mother. In the next session, however, I saw an opportunity of doing so. The patient had by now returned to his mother's apartment. His transference to me as a mother figure had become particularly intense, and he accused me of "not telling me what you mean" just like his mother did. At the same time, he was making quick progress. He had become aware that when his mother left him, when he was eight, he created for himself "a fantasy world." "I'm not sure that I want to get out of it so quickly," he said, and continued in this vein for a while. I used the opportunity to suggest that one of his recent fantasies had

been to stab his mother in the heart; and I suggested that this was dynamically related to his mother's actions as well, because there were hearts on the briefs that she gave to him. He reacted with some surprise, recognizing the common interest of both his mother and himself but clarifying that she gave him "panties really." I did not elaborate further except to suggest to him that there might be some symbolic material here concerning the heart. My thought was that on some level I had communicated to him the fact that I knew the existence of symbolic equations, but that I wanted to establish first the commonality of interest in his mother and himself, without presenting an entire thesis to him.

The intense transference to me as mother-figure began to bear fruit, as Robert revealed more of his thoughts concerning his mother in the coming sessions. For one, he discovers -- or really lets himself be aware -- for the first time that I have other patients! Initially, he was furious. He wanted, he admitted, to be my "only child." He followed this in the next session with a vivid and insightful description of the place of fantasy in his relationship to his mother. "All during the years she was gone, I needed my fantasies to replace her." The fantasy was that he would be her child again, her baby, when she returned. And when she did return, she came to believe in that fantasy too, which is what they had been living out.

Now, however, the fantasies were "not helpful" and he is angry at them.

Robert also revealed fantasies of his about being poisoned, both by the prostitute he saw and by his mother. For three weeks, since he saw the prostitute, his penis had been hurting and he thought he had venereal disease. He scheduled an appointment at a venereal disease clinic, which found nothing wrong, and the symptoms disappeared. Similarly, he had been having stomach distress and diarrhea. He first rejected the concept that maybe he felt his mother "poisoned him" but then he recalled how a year and a half ago he went to a clinic because he thought he had become sick from some "moldy bread" his mother gave him to eat, which caused similar symptoms. I made an interpretation to him in which I pointed out that his mother symbolically "poisoned" his food when she put "Top Job" in it; and I correlated this to his dream of the rice and the concept of the "poisoned breast."

Speculatively, there is some suggestion here that Robert's <u>body</u> reacted to his fear of the mother's breast (when his mother so graphically poured detergent in his food and simultaneously banished him) by acting as if poisoned, that is by developing stomach distress and diarrhea. It is difficult to articulate this concept, for it implies some kind of translation between cognitive and biological process, as if the body "knows." (And yet, we all are aware that our cognitive reactions to food function irrespective

of taste or nutritional value, and can affect our body; as when we are told that we have unknowingly eaten something against which we cognitively feel repugnance.) Affectually, it is as if, in articulating his anger, Robert acknowledges that the poisoned breast was "inside of him," and developed all the symptoms appropriate to this. Because he had become able to articulate his anger, he then "let go" not only emotionally, but bodily with diarrhea. Metaphorically, the poisoned breast was excreted. In this way, however, his hidden crime -- his oral aggression against the breast -- was metaphorically revealed in his feces. His formerly "held in" rage was exposed. (Difficult as it is to conceptualize this concept, one cannot help noting how we incorporate it in our daily language: Thus, one "holds in" his anger; or "explodes with anger.")

All of this material seemed to relate in part to what Robert finally told me in the eighty eighth session. He had become distressed because his mother had been walking around the house without a shirt or brassiere. (Thus, we can see that our hypothesis about her wish to expose herself, her two breasts, in giving two briefs to her son was accurate!) When he saw her naked breasts, he experienced fear. He asked her whether she was trying to tease her boyfriend by walking around naked, but as he did so, he found himself wondering whether she was trying to tease <u>him</u>. In this session, he also told me how his mother frequently walked around without a top when they first came to the United

States, and he was fifteen years old. In addition, he noticed how the other day, as he sat and watched television with his mother, she permitted his one and a half year old nephew, who was visiting, to open her blouse and cup her naked breasts.

Next he told me of an incident that occurred to him when he was 10 and his mother had returned, after two years, to Jamaica for a visit. When she saw him, she asked him to suck her breast and to take down his pants so she could see how much hair his penis had on it! When he showed his penis to her, he covered his eyes. In turn, this reminded him of an incident which occurred when he was 7 years old. He went to visit a doctor with his mother, and the doctor asked him to undress but he would not do so, because he was scared. His mother was furious at him. When she got home, she punished him by taking his clothes off, and forcing him to go naked to the community well to fetch water! I have put exclamation points here because it is clear how important these incidents have been to the therapy, and how they represent the suppressed events that gave rise to the dreams, symbolism, and fantasies of the patient. No doubt, the reader will notice that the mother's control over her son's penis must have begun early; and that the patient's apparent implicit wish to show me his penis, as a doctor, was related to the wish to undo the early incident in which he was punished for refusing to do just that. In fact, as can be seen, his going to the venereal disease clinic was in

the service of the same wish. He had shown his penis to a woman, the prostitute, without permission of his mother; and so he had then to go to the doctor to undo his actions, or as self-punishment for them.

The referents of his symbolism, the genitals and the breasts, were now being revealed combined with their affect. In fact, it was a sign of the progress that Robert was making that he was able, in the midst of all this, to comment to me that he sometimes wondered "whether my mother is in her right mind." Put differently, he was recognizing the strange disparity between her actions and her words, the strange splitting off of the sexual affect, at the same time as he began to recover the affect that he experienced as a child.

Quite a few sessions later, Robert told me that he had quite a scare. He was watching Dracula on television, when his mother came up to him with a spatula and a knife, put the knife on his "heart" and started to pretend to pound it with the spatula. He asked her what she was doing, and she said, "just playing with you." He said, holding her hands, that he did not like to be played with that way. It must be remembered, in terms of his reactions, that this was a mother who threatened to kill him in her rages with a knife; or alternately predicted that he would some day kill her. It is interesting, from the point of view of symbology, how the participants in this interpersonal drama used a cultural manifestation -- the Dracula myth -- to

articulate their own pathology. The myth (and Dracula does appear to have reached the proportions of a myth in modern culture) employs the heart as a vaginal symbol -- only with the silver spike, the magic phallus, can this dark seducer of particularly fragile women himself be overcome. Curiously, too, the mother has tied into the ambiguity of Dracula's own sexuality, as implied in the story. She takes on the role of the phallic mother, who has been treating her son as a woman. Appropriately, it is with kitchen utensils -- spatula and knife -- that she playfully stabs her son -- again the expression of her ambivalence concerning her maternal instincts.

This theme was continued in the next session, after Robert had made an important decision. He had finally, after over a year of contemplating it, sent his father a letter in which he expressed his anger for abandoning him. His mother -- to whom he could not resist telling that he had sent his father an "angry" letter, proceeded to tell him that he would be "lonely all his life" like a woman she knew who had recently got out of the hospital after a heart attack and had no place to go. This somewhat forced analogy on the mother's part was probably determined by the fact that <u>she</u> felt abandoned, by her ex-husband, and that she had suffered a "heart break." She then compared her son to an abandoned <u>woman</u>, suggesting how much she identified with him, on the one hand, and how castrative she was on the other. Her psychological torturing of her son is evident in

that his admitted loneliness, such a striking feature of his personality, was caused in part by their inability to let go of each other.

In one instance, the patient vividly recalled a repressed incident of extreme castration anxiety closely related to those early childhood events with his mother. Awakening from a dream in which a teacher pulled down his pants in front of a class, and said that his penis was too big, at which point she started to cut it off with a scissors; the patient remembered an incident from his sixth year that he had forgotten until then. In the school yard, he was pushed into a basin of water that was used for drinking, as the children crowded around. To punish him, the teacher took off his shorts to let them dry, and had him stand naked in front of the class, on top of a table, while the other children, laughing and giggling, observed him. Whenever in therapy, one manages to recover an early traumatic incident formerly repressed, one feels that at least the general trend of treatment indicates progress. Further, the theme here of a castrating woman, the woman who also penetrates the heart with a knife, is confirmed.

G) Conclusory Revelations

As therapy progressed, it became clear that Robert thought of his penis as diseased and dirty, and was also -- understandably -- terrified of any woman touching it (except a prostitute whom he controlled by virtue of paying her as a servant). He told me in one session, for example, how his

mother and aunt always taught him that sex was dirty, and how in church he was taught that a person has to have a "clean heart" and that God thought that sex was "unclean." But he always, to his distress, found that he was thinking sexual thoughts in church. He then remembered that when he had his first wet dream he thought he had gonorrhea; and he still thought of his ejaculate as dirty -- and was always fearful his mother would discover that he masturbated.

It was not until almost a year after these sessions just recounted, but now at once a week treatment, that Robert told me that when he first came to New York City, in his early teenage years, his mother used to chase him around their apartment wanting to see his "buddy" -- the Jamaican slang for penis -- saying to him "Buddy, buddy, let me see your buddy." She would corner him on his bed so that he showed it to her. His memory of his affect (and his memory for some of the details) of these interactions remained either blocked or suppressed.

H) Commentary on the Use of Symbolism in this Case

The heart symbology in these sessions was only a part of the focus of the therapeutic interaction. What is lost in this recounting, or what is not emphasized, are some of the transferential interactions. Robert could be a stubborn and infuriating patient, almost purposefully obtuse at times: he would attempt to control me in a somewhat paranoid fashion by constantly contending that I had misled him as to the time or number of sessions, or was not giving him

sufficient consideration. At times, particularly near separations, he would mention suicide if I left, although he never came close to acting upon his threats. In addition, there was always the question, on the minds of myself and my supervisor, of impulse control, about which I will discuss below.

The symbology here is striking because in a sense it is part of a shared interpersonal fantasy of mother and son; but -- although there can be no question that Robert was subject to a mother with a severe psychopathological strain -- it should be recognized that this same psychopathology was now, however tragically, a part of him. It should be noted that in Robert's therapy, despite the therapist's constant awareness of heart symbology, interpretations about heart equations -- such as heart-penis -- were only made once or twice, and even then were not overly explicit. On the other hand, comments that the therapist made were frequently determined by his following of the heart symbology. There were a number of reasons for this, but one was outstanding. And that is that my supervisor and myself were acutely aware that there was something potentially dangerous about this patient, and about the situation between Robert and his mother at home. After all, Robert had announced this at the beginning of therapy when he talked about his loss of control in raising a knife to a fellow employee. Imagery which occurred to me frequently was that this patient would stab someone in the heart; and

not far from my mind were the macabre stories (whose dynamics are no doubt similar to that here) of the murderer who does stab in the heart, or stabs and removes the heart. Indeed, one can see here the same dynamics as in the Aztec heart related sacrifices, previously discussed, in which the mother god has sacrificed hearts around her neck, and her "warrior" son (and defender) is the sacrificed god.

The association in the process of doing therapy to cultural manifestations of heart symbology was very useful in helping to generate, and further confirm a hypothesis. In effect, a "back and forth" in the therapist's mind -- taking from the particular situation of the patient and comparing it to a broader cultural manifestation, monitoring the next step in therapy, and then comparing that to other related cultural manifestations -- was part of the process of therapy. Thus, for example, when the therapist emphasized the themes of covered and uncovered, and the importance of the breasts, at the beginning of the recounted sessions, he was already aware of the possibility of heart-breast symbology; and when it was revealed that the mother frequently threatened the patient with a knife -- although the particular facts were unexpected, they fit into one of the dynamic hypotheses that the therapist had already entertained. Another hypothesis was the existence of a glans penis=heart equation and a penis-heart equation as the patient began to discuss clothed and unclothed; so that the therapist, was able to treat the admittedly striking

incident of the birthday present of the heart-bedecked underpants, as confirmation of existing hypotheses.

There were of course other hypotheses equally at work, about the patient's oral aggression, and about his transferential interactions with the therapist. In fact, because the patient was working well in treatment, was obsessive by nature, and wished to control therapy, I saw it as countertherapeutic to make a particular issue of the heart symbology. Research interests, such as this, just did not accord with the therapeutic needs of the patient (who already at times bitterly accused me of "using" him for research). Whether or not my assessment was a valid one, the fact is that the basis for making the assessment -- the therapeutic needs of the patient -- appears to me paramount.

To return to the issue of transference: Implied throughout my discussion was my fear that Robert, who suffered lapses of impulse control, might also pose a potential physical threat to me as therapist. It was essential that I elicit transference to me as a mother-figure if I wished to help this patient, but I did not want to step over the line in which the patient might lose control. In short, would the patient -- who as therapy proceeded further fantasied killing me or having homosexual relations with me -- at some point lose control and assault me, in association with the fantasy of stabbing me in the heart? Short of adherence to the rules of treatment in terms of time, place, and the therapist's silence about his

personal life; it appeared that the best way to guard against this possibility was to disengage the heart from its symbolic meanings, from its over sexualization.

Robert continued in treatment until it was necessary for me to leave the clinic. He was bitter about my leaving; but expressed the wish to continue with another male therapist. His school performance had greatly improved; he had decided not to pursue a medical career but to concentrate on his chemistry studies and leave open the medical school option, if he wished to pursue it later. He was working as a chemistry lab assistant at the school at the time of termination. He had begun to have a heterosexual affair, involving sexual interaction, which went further than anything he had previously attempted; but -- as was understandable given the circumstances -- he found that the more he pursued a heterosexual relationship, the more he took part in "t room" homosexual episodes in the bathroom of a pornographic movie house. Despite thoughts of doing so, he felt he could not leave home until he completed college. Lastly, his hesitant speech had been replaced with moments of spontaneity.

The symbolism here emerges from a personality with many essentially neurotic traits. Whatever Robert's mother was like it appeared to me that Robert could not have withstood her craziness, if at some earlier time in his life he had not enjoyed sufficiently good mothering. Perhaps his mother's pathology only began to develop in earnest after

her husband left, and Robert became the brunt of her aggression. Regardless, we have observed here symbolism in the service of neurotic needs, in which sexual repression has clearly been the most pertinant contributory factor to the heart functioning as as symbol. In the next case, we will observe heart symbolism, but in a personality with psychotic traits, in which equations such heart=stone and heart=seed are current; and in which the fragmentation of the personality contributes to the symbolism.

HEART SYMBOLISM IN ROBERT CASE

Test Anxiety and Palpitations -- Castration Fear

HEART SYMPTOMS EVENTS	Mother holds knife to patient's chest, or she pretends to stab him watching Dracula movie.	Mother gives patient heart bedecked underwear on his birthday.
EVENTS DURING TREATMENT	Mother pours liquid cleaner in patient's food.	Mother asks whether he will clean her vagina in her old age.
CONTEMPORARY EVENTS	Mother often holds knife to patient's chest	
	Patient still hit by mother regularly.	Patient compelled to do sister's chores.
ADOLESCENT EVENTS	At 15: Mother, sister return; mother often chases him to see his buddy".	At 16: Sister found in bed with mother's boyfriend, she makes suicide attempt.
LATENCY CASTRATIVE TRAUMATIC EVENTS	At 8: Mother leaves home, separated from sister.	At 10: Mother returns, asks patient to suck breast, let her see his penis.
EARLY CASTRATIVE INCIDENTS	At 7: Father leaves home. Mother, aunt, grandmother begin beatings.	At 7: Mother shames patient by forcing him to walk naked to community well.

At 6: Patient placed naked in front of class on table to be ridiculed.

At 5(?): Brother ridicules patient because glans not covered by foreskin.

EARLIER EVENTS AND RELATIONSHIP WITH MOTHER UNKNOWN

CASE TWO: VICTOR -- THE HEART AS A GRAPHIC SYMBOL ARISING OUT OF AN EARLY TRAUMATIC MEMORY.

1) Introduction to the Heart Symbolism in This Case

This is the case of Victor, an intelligent 21 year old patient, originally from South America, who entered treatment because he was experiencing paranoia, had dropped out of college, and had left his job. He was a seriously disturbed young man, bordering on schizophrenia, whose functioning was highly variable, sometimes sociopathic in character, sometimes seemingly neurotic, sometimes psychotic. Heart symbolism did not play as important a role in his therapy, or in his presentation, as in the previous case; but it did figure in an early traumatic memory, which was centrally important to his personality development and to the progress of his subsequent psychotherapy. Victor was seen in treatment for over two and one half years, but the heart symbolism discussed here appeared over only a series of five sessions. Nevertheless, the incident to which it was attached was frequently and pointedly discussed throughout the course of treatment.

The heart symbolism in this case is introduced to the reader for a number of reasons. For one, it shows the place of heart symbolism in terms of the repression of referrents, in this case "penis" and "breast"; and it does so dramatically. The traumatic incident to which the symbolism attached involved the patient at the age of 4 or 5 years

being beaten by his father, and extreme castration anxiety which arose as a consequence of the beating (in the midst of which the patient needed to urinate). Thus, the heart came into play, when the incident was subsequently recounted in psychotherapy, as a substitute for the endangered phallus. In addition, the manner in which the heart symbol appeared in psychotherapy, over a number of sessions, was very much as if an image were forming on photographic paper, which progressively built until the heart shape was replaced by reality itself. This suggests that the stylized heart shape, the graphic sign of the heart, took form out of a visual image unrelated to it, or stated better, only partially related to it, as if the shape were extracted from a background stimuli. In this sense, one is reminded of the manner in which in tachistoscopic presentations, the viewer tends to extract one portion of the presentation, presumably the portion most affectually striking. Here, it was the stylized heart shape that preceded the recounting and possibly the remembering of the underlying reality.

The third reason for the presentation of this case involves the sense that the therapist received that the mention of the heart shape, in the overall context of the therapy, tapped an archetype, specifically an archetype in which the heart represents a seed. The concept expressed by this archetype seems to be that of burial and resurrection, or in psychotherapeutic terms, the wish that the essence of the patient's personality, distorted and hidden by his

mental illness, will resurrect itself. Thus, in a descriptive sense, related to Jungian theory, the heart appeared as a symbol with the potential for healing the patient if properly explored. Certainly, that is the way in which the incident to which the symbol attached subsequently functioned in Victor's therapy.

2) Victor's History and Beginning of Treatment

Victor was a small, slim young man who walked quickly and with hunched shoulders, as if he were trying to disappear into the floor or wall. At the beginning of treatment, he sat at the edge of his chair, constantly and compulsively asking for advice, which if given he disregarded, berated, or continued to question. He oscillated between obsequiousness and defiance, self-abasement and grandiosity. Sometimes, he giggled, usually when an insulting or salacious thought occurred to him which he was reluctant to share. From the beginning, Victor's ability to sustain therapy, in terms of coming regularly to therapy sessions, was in question. In addition to his obvious confusion and distress, there was little consistent about his attendance or stable about his personality. He frequently consciously lied to the therapist about his reasons for lateness or absence, begged for new sessions, and repeated this performance; further, he would lie about important facts in his daily life and neglect to relate severe feelings of depression or, later on in treatment, suicide gestures.

Perhaps the most striking aspect of his personality, at the beginning, was his extreme paranoia. It took an interesting form, and if one listened to it during a session, one realized that all possible variations of the reasons for his paranoia were expressed, almost at the same time. He was afraid to attend psychotherapy sessions because he had to travel by subway, and the people in the subway would stare at him because he was so ugly in appearance, or in the alternative because he was so handsome; because he looked so stupid, or because he appeared so intelligent. Similarly, they refused to look at him, avoiding his gaze, for <u>all</u> the above reasons. They were either embarrassed for his deficiencies; or angered by his thinking so much of himself. A graph of this paranoia, involving all the combinations, would look like this:

	ugly	handsome	stupid	intelligent
staring people				
avoiding looking				

With only this information, it was apparent that Victor was obsessed by a wish to exhibit himself, and a correspondingly strong superego prohibition against this exhibitionistic urge. Although from his initial description, there was nothing manifestly sexual about his wishes, it was not too long before he began to articulate his sexual thoughts. Sometimes, the patient's discomfort in the subway became so great that he had to get off and could not attend his session. For the same reason, his inability

to be comfortable around people, he had dropped out of college and left a part-time job washing dishes. This initial information about Victor is being presented so that the reader can get a sense, from the beginning, of how severe was his pathology, and how obsessive he was in character -- an obsession that stemmed from such an underlying concern about his penis.

A second aspect of Victor also was striking, although initially it was more difficult to conceptualize. That was a facial expression that he had, which it took me a while to realize represented -- as if permanently sculpted into his features -- a feeling of disgust. Facial expressions are sometimes misleading, and Victor's obsessiveness, did not leave much room (in fact it was being used as a defense mechanism for exactly this reason) for the expression of affect such as this; but ultimately the importance of disgust to his personality proved to be correct.

Victor's history, which he recounted in the intake interview, was coherently related. It spoke of frequent traumas and separations in childhood, a fact which the intake interviewer made a point of noting. Victor's father was an alcholic and aggressive man, from a rigidly Catholic background, who suffered at least two nervous breakdowns and hospitalizations. He was subject to rages. When Victor was five years old, his father had died in a motorcycle accident, apparently as a consequence of being drunk while driving the cycle. After his father's death, Victor

continued to live with his mother and siblings -- he had a brother two years older, to whom he was very attached at the time, three older sisters, a sister two years younger and an infant brother, four years younger. However, Victor's mother had difficulty making ends meet; she moved out of the family home, and rented it. In addition, for reasons that were not clear, she sent Victor to live separately from the family, the only child to do so. He lived with his paternal grandparents from the ages of 7 to 15. His grandfather was wealthy, so that materially Victor was better off than at his home. But the grandfather was "a fanatic Catholic," who assisted the priest during service, and Victor was compelled to observe Catholic ritual rigidly. On weekends, Victor would often return home, where the atmosphere was decidely different: disorganized, free of strictures. In addition, after his father's death, his mother had repeated boyfriends with whom she publicly argued on the street outside their home or with whom she was publicly affectionate. Victor characterized her as being a prostitute at that time but whether she took money for her services was never clear. What was clear was that Victor was exposed to sexual stimuli as a consequence of his mother being so openly involved with men. Once an effort was made to have Victor return to his family, but now he and his older brother constantly fought; and as a consequence, Victor was sent back to his grandparents. At thirteen, Victor's mother left South America to live in New York City, and the eldest sister,

then in her early twenties, took charge of the family. When Victor was fifteen, his paternal grandmother died of a stroke, and he returned to live with his siblings, and an older family maid. Shortly thereafter, his seventeen year old brother, who was obviously becoming mentally ill, committed suicide by drinking lye, apparently brought on by unrequited love for a girl. Victor continued to live with his siblings, where for six months he carried on a surreptitious sexual affair with the maid. With only the oldest sister and maid for authority figures, the freedom and disorganization of the children's lives were great.

When he was seventeen, Victor and his siblings, with the exception of the eldest sister who moved to Europe where she married a civil servant, joined his mother in New York City. His mother was working as a laundry woman in a nursing home. When Victor began treatment, his mother had a live-in boyfriend, and had begun to rely increasingly on narcotic drug smuggling as a way of supporting herself, and those family members still dependent upon her. The two older sisters were managing on their own, and lived separately; Victor was living with his younger siblings, his sister who was just beginning college, and with whom he felt competititve academically, and his younger brother. Victor had gotten his dishwashing job through his mother at the same nursing home; and he had attended a community college prior to transferring to a four year college. The previous year in college, he had sought help from a school counselor,

when he had been obsessively concerned that the compulsive masturbation he did would drive him "crazy," and he had obtained some relief, in five or six sessions, when the counselor assured him that this was not true.

Victor had no girlfriends, and only a few male friends, some of whom were openly homosexual, although Victor did not have sex with them. Regularly, he visited prostitutes. He had no recent homosexual experience at the time therapy began, but at ten years, he had been forcibly sodomized by a fifteen year old cousin, while he was partly asleep in his bed, and at thirteen, he willingly participated with another cousin in anal intercourse a number of times, acting in both the passive and active roles. His current breakdown appeared to have been precipitated by his leaving at the community college his closest male friend, with whom he enjoyed great intellectual rapport and with whom he competed academically. This friend was somewhat effeminate but was not homosexual. The importance of the friendship, and his separation from the friend, to his current state was not at all conscious to Victor.

The history recounted by Victor, as well as his pathological state at the time of beginning treatment, made two things apparent, both of which reflected on the heart symbolism that eventually emerged. The first was that Victor, who denied that he had any feelings when his father, brother, or paternal grandmother died, was identified in his mind with at least the father and the brother. From his

initial account, his father emerged as a terrifying figure, who whipped the children in his rages, but one whom Victor as a young child also admired. At an early age, Victor tended to follow his older brother, whom he apparently worshipped, and he would do whatever his brother told him. But in later years, when he and his brother did not get along (the dynamics of this were unclear and how much of it was a consequence of their separation was never determined), his brother became wild and uncontrollable, and subject to rages just as the father had been. About both deaths, Victor had not accomplished the work of mourning; and he felt immense guilt, which had many derivatives. One that emerged concerning his father during the second year of treatment was that his father had asked him to come with him on that final motorcycle ride, before he had gotten drunk, but Victor's brother had told him not to; it was unlikely his father would have gone drinking at a bar with Victor, and thus Victor felt as if he had betrayed his father in refusing to accompany him. Another feeling of guilt related to his brother's death, for his immediate thought when he heard of the death was that now, with his brother gone, he could use his bicycle. The thought may have been overdetermined by the wish to follow brother and father into death on a two wheel vehicle. (Victor also felt guilty about his grandmother's death, because the night <u>after</u> she died, he masturbated which his grandfather strictly forbid. Victor felt, although the time sequence was reversed, that

she died because he masturbated; as a punishment for his having sinned. About this conjunction of death and his phallus, I will refer shortly.) All of these determinants, although specific, were secondary in a sense to a more profound feeling of guilt and anger concerning his father and brother; anger at his father for the manner in which he had treated him, and a feeling of satisfaction that his father had died; anger at him, too, for leaving him -- feelings to which attached, thinly disguised, ideas of the omnipotence of his thoughts; and lastly, shame for his father and brother, and feelings of guilt for having such a sense of shame, concerning underlying doubts he had about their sexuality. Regardless, it was clear that one of Victor's fantasies was that he too was destined to go the way of his father, whose death he recognized as suicidal in nature, and of his brother; that he too was destined to become mentally ill. It was equally clear that the work of mourning, on a fundamental level, would have to begin with this primary figure of the terrifying father.

Secondly, once the obsessiveness of Victor's initial state abated somewhat -- his repeated questioning of me reminded me of a young child who seeks continuing reassurance and expressions of concern from a parental figure but does not particularly care about the content of the words -- and the "seamless web" of conversation in which he would talk about his paranoia throughout each session had disippated; the underlying thoughts became more apparent.

They were, as I had stated we might suppose, obsessively sexual; and it was such sexual thoughts that he was trying to defend against when he was in the subway in close proximity to people. What also emerged, not unexpectedly, was the theme of the "body as phallus." The mystery of the erection and flaccidness of the phallus had gained a symbolic hold upon Victor. He had a need to keep his body "stiff" as a protection against homosexual and self destructive impulses during his subway ride. This need had roots in his fear of his homosexual desires, (if his phallus were stiff, if he were stiff, he was symbolically masculine and could not be penetrated anally) and also in his equating of the stiff phallus with life, and the flaccid phallus with death. Thus his body when stiff acted as symbolic denial that he would die in the way his brother and father had.

At the same time, however, as is common, the phallus that he identified with, was not only his own. It was his father's and his conception of his father's phallus. In a sense, if he maintained a stiff phallus he denied his father's death, and did not have to experience the loss and separation. How had such an obsessive concern with his penis come about? This was not clear from the facts, or at least some of the dynamics were not clear; but it was apparent from his recounting that he had from a very young age taken an obsessive interest in sexual matters. In part, this appeared to be encouraged by his father and family members, who when he was younger would laugh at his attempts

to look under women's skirts, but as he became older his family labelled him as having a morbid interest in sex. Partly, too, this early behavior must have been a product of precociousness on his part. Undoubtedly, there were in this disorganized family incidents of sexual stimulation which were not brought to light. But a major part of it, as the patient began to recognize and as we shall see, stemmed from interactions with his father.

1) Prelude to Heart Symbolism: Breast, Phallus, and the Letter "B".

In presenting the sessions which led up to the use of heart symbolism, which I refer to as "prelude sessions," I focus in particular on one instance in which Victor used a graphic image -- the letter "B" -- as an apparent breast symbol. In the context in which it was set, the letter B, with its double crescents, appeared to be a precursor to the more elaborate heart symbolism that subsequently developed involving the heart sign, with its double crescents. To depict the context clearly, I have stressed two aspects of the prelude sessions. The first is the psychodynamic aspect, in which Victor can be observed working on obvious Oedipal themes, which have beneath them -- almost as if they were translucent -- preOedipal and oral concerns. The second aspect, which the reader cannot fail to sense, is the diagnostic. Victor's cognitions during these sessions -- his belief as he looks at the sun, that he is like Jesus Christ; his idea that he can influence people because he has

something akin to a "magnet" inside his body that directs their thoughts -- are psychotic in appearance, and yet these thoughts are transitory. Victor has the ability during his sessions to recount these thoughts, comment upon them, and sometimes to evaluate them. At the same time, the reader will observe, that Victor is highly manipulative: he suppresses information, lies, throws temper tantrums to try to make the therapist feel guilty, insults the therapist, and misses sessions or makes late payment. It is important that the reader keep in mind the extent of hostility that Victor expresses, particularly in his actions. No doubt, the reader will be impressed, as I was at times, that despite Victor's characterological defects and pathology, he was able to freely associate, develop themes, connect past and present events, and seemingly work through resistances -- much as a neurotic patient would be expected to do. What the reader should recognize is that Victor's "working through" is illusory in part, for it is an attempt to sidestep the transference resistance, which is so threatening to Victor, by manipulation. Put differently, it remains an attempt at placation of the therapist as a terrifying transference figure. In addition, Victor is continually subject to identifications, rather than the building up of a true neurotic transference, during these sessions, and acts out either as a consequence of intense identification or in rebellion from it. The appearance of progress in these sessions (and there is considerable

progress) must be tempered by the realization that Victor has not been able to develop a fundamental sense of the loved object as permanent, or -- as a consequence -- of himself as permanent.

The prelude sessions began when Victor told me that as a child he had observed his mother during intercourse with a black man, after his father's death. His memory of this was vivid; and his affect was angry, not only because he considered his mother a prostitute for her promiscuity during those times, but because he was openly biased against blacks and felt it was beneath his mother to have sexual intercourse with one. His bias appeared in part to come from his family beliefs; but it should be noted that -- as in all of Victor's statements -- nothing was simple, but was filled with ambivalence. He was the darkest member of his family; and his childhood nickname was "Darky". Shortly after telling me of this memory, Victor had intercourse with a prostitute, an older woman. He enjoyed in particular placing his penis between her breasts; and he found himself thinking of her as his mother.

As invariably the case when he seemed to strengthen the therapeutic alliance by confiding in the therapist, Victor reacted with panic, distancing, and paranoia, no doubt in part to defend himself against merging with the therapist as a loved one. Thus, just before the next session, he telephoned to say that he could not make it because there was a problem with the subway system. I offered him a

makeup, which he accepted. In the next session, he tells me he lied. It was simply that "I did not feel like coming last time" and he stepped off the subway train for that reason. In addition, because he spent twenty dollars on the prostitute, he cannot pay me. I become quite stern with him, for jeapordizing treatment and for acting out ("acting in" as it is sometimes called) his aggression toward me. He reacts by attacking me -- "I could have gotten better service," he says, "in a private clinic" -- and then confides that "sometimes I think of you as my father." At the end of the session, I make an interpretation to him (out of a number that were available) that he manipulates the situation so that I will be stern with him about one action, his late payment and his lying, as a way of seeking punishment for another action, his expression of the wish to sleep with his mother.

In the next two sessions, with some focussing by me, Victor attempts to work through why he felt he had to miss the previous session. The first of these sessions (session 73), he begins with what seems like an extraneous matter. He was at home feeding his cousin's baby, who was a year and a half old. Mucous was coming from the baby's nose, and he found that he was getting nauseous. Then in the session, he begins to have cold symptoms himself. He looks around the room for tissue paper, but -- as he has no doubt noticed subconsciously at least -- this room (which was perforce different than our usual one at the clinic)

does not have tissue paper. After his continued sniffling, I comment on it. He denies he needs tissue paper, but continues sniffling. I remark on how difficult it is to request something, and no doubt he noticed that this room lacked tissue paper; I will be glad to get some for him, which I do. Afterwards, I wonder to him why he does not bring tissue with him. He says: "I did not have a cold until I came into this room." A discussion ensues about the change in room, in the midst of which Victor begins to write with one hand on the armchair. I ask what he is writing. He says: "Because." "Why?" He says: "I like to write capital letters, the letter 'B.'" "Why the letter 'B'?" "Because it has a nice figure," he answers. "That's the kind of remark," I say, thinking of the double crescents of the letter B as breast symbols, and of a discussion by Kallir (1961) (1) that traces the letter B to Egyptian hieroglyphics, emphasizing how "B" begins ancient Egyptian words associated with the breast, "that one would make about a woman." (I purposely do not yet say anything about the breast, as I would like to keep closer to the manifest material.) As if in confirmation of my interpretation, Victor laughs and then volunteers additional information: He has been thinking that he would like to have a woman therapist, but that they are not forward enough at this clinic. He has one in mind in particular. Then, he goes on about how he is not getting anywhere in therapy, he would be better off at a private clinic. He accuses me of

"playing a game" with him. I suggest that he has gotten pleasure out of attempting to play a game with me concerning his attendance and payment, and I wonder whether he is avoiding that subject.

This leads him into focusing on why he lied about the missed session. When he was on the subway, coming to therapy, there was a woman standing there with her husband. I try to ascertain how he knew he was her husband. He is not sure, perhaps he wasn't; or maybe he heard something they said to each other. He found himself thinking that he was competing with this man for his wife, and the man knew it. He wonders whether that is why he got off the subway.

At the end of the session, I suggest that there is a pattern here. He seems to be very interested in women's breasts or mother's breasts and in oral wishes. I point as evidence how he put his penis between the prostitute's breasts and thought of her as his mother; how he fed the cousin's baby, as a mother would, but then became nauseous; how he wishes for a woman therapist or wishes that I were a woman who perhaps would nurture him; and how the letter B is a breast symbol with its double crescents. Victor's reaction is to giggle; and I wonder whether I have succeeded in reaching him, or have emphasized the sexual point too strongly. (In retrospect, I realize I have left out the important symptom in which I, as nurturing mother, wipe the mucous metaphorically from his nose.)

In the next session, however, I am pleased to see Victor return spontaneously to why he missed that session. He recalls that when he left the train, he walked down the subway station stairs. It was a sunny day, and he looked at the sun, and began to think of the resurrection; he thought of himself as Jesus. Victor also volunteers a dream, only his second in treatment, which begins with his mother assuring a girlfriend of hers that Victor is a "faggot," which Victor protests is untrue. In the second part of the dream, he is walking up a staircase with a white handrail. When Victor associates spontaneously to the dream, he realizes the mother's girlfriend looks like the woman in the train, and in the dream wears earrings similar to those of the woman in the train. The second part of the dream, he associates to his experience as he went down the subway stairs, and also to the lavish house of a homosexual man he knew in Jamaica, who had sex with his male cousin. Victor liked this man, but never had sex with him; besides he was "too bossy" and always insisted that he come on time to the house, "6 o'clock." As 6 o'clock is the time for his session with me, and as he has frequently told me that I am too bossy; it is easy to interpret this. I simply say: "Why 6 'o clock?" And Victor thinks for a moment, then says: "Oh, do you think the friend is supposed to be you?"

At the end of the session, I suggest to Victor that there has been a pattern for quite a few sessions. It began when he told me about his vivid memory of the black man

having sex with his mother. Then Victor began to act out this event, identifying with the black man, and had sex with a prostitute in which he thought of her as her mother. At that point, it appears that in part, I was like a father to him, and he feared retribution from me. Metaphorically, he had magically killed me, just as the black man had access to his mother after his father died. He also expressed aggression against me by imagining he could control my presence, by one minute thinking I was there for him, and the next minute, deciding he did not want me; in effect, in terms of his links with me, metaphorically, he expressed aggression against me, killed me, and then wished to resurrect me again. At the same time, he identified with me, imagining himself dead and then resurrected, like Jesus Christ. All in all, it seemed as if he wished, in part, to punish himself for wanting the mother.

2) The Second Phase: Release of Information

What I did not discuss with Victor, in making my interpretation, was the portion of the dream in which his mother calls him a "faggot." My reason for omitting this was largely because I wished to focus on Victor's aggressive instincts (which were <u>so</u> apparent from the transference) rather than to collude in ignoring them by giving him interesting interpretations instead. However, it should be noted that this dream appears to be a response to his initial fear that he will be punished, by a father figure, for his wish to be nurtured by the mother. Apparently, what

he does in the manifest content of the dream is to deny his wish for his mother by having her say to her friend, he's a homosexual, or -- translated -- he has no interest in women; or, translated in another sense, that he is an ineffective male. That he is ambivalent about this solution to avoiding the feared aggresssion from his father is apparent from the remainder of the dream, for he then argues with his mother about her statement. The second part of the dream suggests an alternative response to Victor's overwhelming fear of the father; it is to deny to the father-figure that he cares for the mother by saying: "It's really you, I'm interested in, not my mother." Of course, the common denominator of both these responses is that he castrates himself, makes himself symbolically into a woman, as a result of the expresssion of a heterosexual if highly oral wish for the mother-figure: In other words, he punishes himself. That this punishment is directed toward his phallus is evident from the content of the dream.

The dynamics were somewhat related, when he failed to come to his session, and called me with a story about the inoperative subway. What he did metaphorically and magically was to deny my existence for a moment, magically to wish me gone. Thus, when he descended the stairs from the subway, and imagined himself as Jesus Christ, his superego was reacting to the terrible anger he had acted out toward me, by first directing the anger toward himself and wishing himself dead (as Jesus Christ) and then undoing the

wish by imagining he was resurrected. On another level, this death and resurrection, really referred to the phallus -- death was equated with castration (or for Victor its associated phenomenon -- descent). The emphasis on the sun, in this psychotic-like incident, suggests the sun as a resurrective symbol, one associated with the penis. All of this suggests transference toward me as father figure and a highly eroticized relationship with the father in the past, a relationship that seems almost sadomasochistic in dynamics although we yet have limited data on which to confirm this hypothesis.

The general hypothesis about what was going on appeared to be confirmed in the next session, but not in a way that augured well for treatment. It was confirmed in the sense that there was a dramatic change, but the change suggested the extent to which Victor was unable to control his impulses. He arrived with a bandage on his forehead, as the consequence of a fight with his younger sister, who hit him with a crystal vase. He recounts the fight, which began because he tried to prevent his sister from watching television by turning on the record player. He then accused her of walking too heavily, to make the record stick. She told him that he was "paranoid, crazy." He verbally attacked her about an entirely different point, that he could have known would incense her (this was characteristic of Victor's style of argument). She in turn lashed out by calling him a "faggot" (apparently this style of argument

prevails in the family). He followed her into her room where she hit him with the crystal, and he grabbed her by her hair and banged her up and down on the floor, while his mother became hysterical, and lay on the floor, complaining about her high blood pressure, which Victor subsequently claimed was "acting" on her part. One might remark that impulse control seemed to be a pervasive problem in this family.

After all this was over and Victor's forehead spurted blood, scaring him and ultimately reguiring sutures, he collapsed in his mother's arms, saying that he did not want this to happen. He tells me that he thinks he has a magnet inside of his body, and when anyone looks at him, there are "like lines between us." It is for this reason that when he is anxious, others are anxious. I suggest to him that although that is one hypothesis, there might be other reasons that people seem discomfited when he is anxious. It may be that they sense his anxiety from visual signs, or things he says, or even that -- as in his sister's case -- at times he is provocative.

Insofar as the dynamics of all this are clear to me, I consider it as -- what seems most obvious -- the result of our previous session: After my interpretation of his interest in the mother's breast, he manages to get into a fight with the sister who replaced him on his mother's breast, the sister whom he must have observed resentfully when she was an infant and he was two years old. Thus, what this appears to be is the acting out of a terrific oral

rage, directed initially against the mother, but here deflected toward the sister. In other words, I take this as confirmation of my initial hypothesis, albeit, given the acting out that is so characteristic of this patient -- his inability to internalize his ambivalences -- a disturbing one. To counteract this tendency, I stress to him that unless he articulates his aggression particularly toward me, rather than "running away" from sessions and not showing up, it is likely to be acted out.

2) The Second Phase: Release of Information

I hope that I have given to the reader the sense of the instability of this patient, as well as the dynamic issues. I extended the discussion of the sessions to indicate how violence and blood seemed to play a role in the patient's life, a point which as the reader may suspect is significant to heart symbolism as well as the patient's castration anxiety, and how -- when an interpretation was correctly made -- the patient often reacted by exhibiting a change in behavior, but not necessarily one that, at least initially, appeared therapeutic. He acted out his anxiety about his aggressions and his ambivalent wishes about being understood, which he often equated with "being discovered," rather than incorporating the information.

Nonetheless, despite the patient's acting out, evidently I had passed a test for him of some increased decree of trustworthiness; for in this second phase, the patient revealed a large amount of information that focussed

on his early childhood. At first, I was unable to follow the dynamics of this informational flow. Here, I will summarize some of the pertinent facts in order of their appearance:

a) Victor began by telling me in one session a series of aggressive, sadistic acts that he had participated in at various times or heard about as a child, all of which he still considered, in a manner affectually resembling an adolescent, to be terribly funny. These included the actions of an uncle who used to constantly make fun of a man, until one day, the man found him building a house, and wedged between an open window and other construction so he could not readily move. The man, who was returning from the bakery, waved a muffin in front of the uncle's face to tease him; but the uncle triumphed in this encounter. He bit the man's two fingers, so that he "yelled with pain" and his uncle got the muffin. Another incident Victor recalled, gleefully, was a trick played by his younger brother on a cousin. His brother taped a sanitary napkin with mercurochrome on it, into his cousin's pajamas; and the cousin, when he found it, got upset. A third incident involved a friend of Victor's, who at the home of a poor farmer who had been of great assistance to Victor and his friends, decided to try out an old gun the farmer left on his wall (a gun which shoots a type of fruit not available in the States rather than bullets). The gun discharged with a tremendous noise, blowing a hole in the wall near a sleeping baby, who

began to scream. At first, the boys thought the baby had been hit. In the next session, Victor mentions that sometime after the death of his father his older brother and one of his older sisters, confined him in a storage bin (in shape like a coffin), so that he was afraid of asphyxiation: He relates this to his feeling of claustrophobia on the subway.

b) He relates a number of early sexual experiences. When he was seven, an older sister attempted to have intercourse with him. Also, when he was seven, he sucked his younger brother's penis, and was discovered and disgraced by an older sister. He begins one session, by telling me that I am "skinny," and then in the course of the session, he mentions how his older brother, used to shame him in front of other boys, because he had a "skinny" penis: His brother would call him "skinny minny."

c) To attend these sessions, Victor refused to take the subway, and prevailed upon his mother to give him money for cab fare (which comes to approximately thirteen dollars).

d) Victor began to have a bout of diarrhea.

What gradually became apparent to me was that this information forms a dynamic pattern. It all falls into place if one begins to realize that the common theme is castration anxiety and terrible fear. Victor begins these sessions, with an adolescent type of bravado, recounting incidents which are violent and sadistic in character and evincing laughter about them. But as he recounts them, and

I neither react punitively to his expression of aggression nor join in the sadistic laughter, he begins to bring the subject matter a little closer to home. At the same time, his affect begins to change somewhat: He begins to talk about his own castration anxiety, and his own fears of death. Further, it should be evident how much of his initial laughter was pure bravado. Indeed, he is indicating by his behavior that behind all this is a dependent relationship to the mother, which is also aggressive in character. This is announced in part by his need of cab fare from his mother and by one of the incidents he recounts which is a visual joke on the concept of "biting the hand that feeds you." In other words, there is an oral motif here, the motif with which we began, namely his fascination with mother's breasts. However, there is fear here as well, fear concerning the incidents he has recounted. Ultimately, in these sessions the fear seems to express itself by the onset of somatic difficulties which, we hypothesize, are psychologically caused. That is, Victor has diarrhea, often a sign of fear (we acknowledge this in the vulgar expression: "I was so afraid, I almost shat in my pants.")

We have already discovered one aspect of Victor's fear: He fears punishment from a father-figure for expression of interest in the mother's breasts, for oral desire directed toward the mother. It is likely, too, that there is another component to this fear -- perhaps a prior one -- namely fear <u>of</u> the mother's breasts. This might be conceptualized in

another manner as well -- not necessarily mutually exclusive: Perhaps his fear of the mother's breasts is a consequence of the belief on some level that he has been poisoned by her, which articulates itself through the diarrhea, as if to say -- metaphorically -- "Your milk or your flesh that I wish to consume has given me diarrhea, it is poison to me." As a hypothesis, this may seem somewhat farfetched to the reader. But I ask him to recall that this whole section of treatment began as the consequence of Victor expressing an oral wish, which then terrified him, namely a wish for the mother's breasts. One manner in which breasts can at least projectively express their aggression is through poisoning; and Victor has given us more than enough reason to think that oral aggression, toward the mother's breasts, is a subject of his concern. In fact this concern, and Victor's castration anxiety, will eventually become articulated in heart symbolism.

(Parenthetically, it is a nice question -- assuming that our hypothesis is correct -- as to when such a concept as "poisoning" would be first symbolized. Does the infant's body react to perceived maternal aggression, when sucking on breast or bottle, by a spontaneous diarrhea or nausea, before such symbolism solidifies. If so, how does the individual make the transition to symbolism -- to the "poisoned breast" -- developmentally or how does he reverse the sequence, going from solidified imagery and verbalization to sensorimotor functioning, during

psychotherapy? As a practical matter, it should be noted, the Freudian hypothesis of symbolization beginning in infancy or the Piagetian hypothesis of later development of symbolism, make little difference in doing adult treatment. The only tools one usually has are the verbal ones; and the spontaneous disappearance of somatic symptoms during treatment, even during sessions, using the Freudian hypothesis, has been reported.)

In the next session (session 83), Victor comes into the room, unzips his jacket, and then in the course of the session, makes the remark that as he unzipped his jacket, the thought went through his head that he wanted to exhibit his body to me. For the first time, I make a direct interpretation to him about the fact that perhaps, in addition, he wishes to exhibit his penis to me. I also suggest that he is ambivalent about this wish, and perhaps has the fear that his penis will be cut off. In addition, when he remarks about being afraid on the subway that he will "exhibit his fear" I connect his ambivalent wish to exhibit his penis with similar feelings on the subway. At first, Victor laughs when I mention this castration anxiety, but then he sees that I am quite serious.

He then tells me, and again I see the release of information as a sign that my symbolic interpretation is correct, that he had sex with the same prostitute as before "I didn't want to refuse her, she might be hurt" and during intercourse, his penis bled and hurt. Apparently, his

foreskin is not completely retractible (this is the first I know of this), and this often happens. He had once, a year and a half ago, mentioned it to a doctor, but the doctor examined him, when his penis was flaccid, and said there was no problem; he did not persist and explain that the difficulty arose when it was erect (probably he desisted because of homosexual fear). I also make an interpretation, again symbolic, to tie things up, that a jacket is often considered a "symbol" of the foreskin. Victor recognizes the analogy, and thinks it is funny.

A number of observations might be made about this revelation of Victor's. The most obvious is that one must assume some satisfaction on Victor's part to have suffered, for so many years, intercourse which is frequently painful and traumatic as a consequence of his foreskin not retracting. There is something undoubtedly masochistic about this, pleasure in the pain, almost as if Victor saw this as the necessary concomittant to his actions, a punishment, one might hypothesize, for the wish to have sex with the mother figure. A second observation is that Victor has now returned to the original event that engendered his fear, namely having intercourse with this prostitute and thinking of his mother when doing so. He is attempting, in effect, to master the terrible fear which threw him into a psychotic episode. No wonder he is fearful, for the very act of intercourse resembles castration for him. It is

perhaps no accident that for the rest of this session, Victor talks about his diarrhea.

At the end of the session, I hazard an extended interpretation: I suggest that the diarrhea is a consequence of fear, and that this may be the result of the oral wish he has toward his mother's breast. I also suggest that he is exhbiting at the same time other behavior that could be accounted for by this theme, namely sibling rivalry, and dependency on his mother.

The reader may feel that some of these interpretations were premature; and indeed, there were times I wondered whether one should risk such "deep" interpretaions with such an individual, whose ego was so fragile. And yet, when I desisted from giving interpretations, and tried to stay with the manifest content, it was clear that I could not reach this patient; in a sense, my constant communication had to be with his subconscious, because his ego was so unreliable. It was a process which I often conceptualized as working from both ends to the middle -- that is working to bring some constancy to his ego functioning, while at the same time, working at deep material, and hoping that at some point the two process would meet. The "psychotherapeutic hook" however was embedded in the subconscious. Having said all this, it should be noted that side-by-side with the work I am recounting other work was being conducted, in the nature of structuring, to help Victor in his effort to find

of emphasizing only the material relevant to heart symbolism.

3) The Third Phase: Heart Symbolism Revealed

In the next (eighty fourth) session, Victor released so much material that I could only feel that I was on the right track. In addition, in this session, in the midst of this outpouring of material, Victor employed graphic heart symbolism in which the heart apparently represented both breast and penis.

Victor began by telling me that he had thought about what I had said in the last session, and maybe one of the reasons he stiffened ("like an erect phallus") in the subway, was that he was afraid his penis would be "cut off." He then starts to smile, and thinks that I will get angry at him for what he is thinking. When I say that I cannot read his thoughts, he relates to me how my hair is wet which makes my head look smaller; then he wonders whether he is comparing his penis to mine. I do not react to this statement. Anyhow, he goes on, he did not take the subway to this session, but a cab again. And he remarks too that he uses the money that his mother gives him to pay for the prostitute! I question him about this, to make clear that there is something misleading in the way he asks his mother for money; but I am not punitive. Apparently, having attempted to be provocative toward me without success, he now is able to tell me of a somatic symptom, which suggests

anxiety: he has not been eating lately, because his stomach has been so upset, so he has been drinking only milk. Milk will calm his stomach, he says. He is reminded that the other day, his mother told him that as a child he did not breast feed -- "well, I did not want the breast and my mother did not feed me for very long." He is unsure of how long.

He then recounts how last night he masturbated to a pornographic videotape. I ask him what he was watching as he masturbated. He was watching a woman sucking a man's penis. What did he fantasy about? He thought about his mother and his sister, but he tried not to think about them, because he did not want to "think that way." Immediately following this, he remarks that his sister has a sexual problem, he thinks; she bleeds too much during her menses and whenever he thinks of that his penis -- here he uses a Spanish word that he translates as -- "becomes discouraged." Together we analyze this as his castration anxiety.

Following this, Victor recounts striking new information about his penis, as if -- having been relieved of his castration anxiety in part -- he can then recount the underlying events that help to create the anxiety. His information is as follows, in the midst of which, as the reader shall see, he employes heart symbolism.

1. As a child, he never pulled back the foreskin of his penis; he urinated without doing so; and was amazed that a

cousin did, thinking that "it must hurt when he does that." It was not until he was thirteen years old, that he began to pull back the foreskin. (Here one can see the theme of fear of exhibiting and wish to exhibit attaching to the glans itself, rather than only the full penis.)

2. He stops for a moment, and starts to draw with his finger on the arm of his chair. He tells me that he is drawing four hearts, that meet in the center, where there is a hole. He says this hole is the hole of his penis.

3. The he continues verbally: When he had intercourse with the maid at fifteen years of age, he also never pulled back the foreskin. (I use this as an opportunity to wonder to him whether he was afraid to let her see the "head" of the penis.)

3. She told him his penis smelled. In fact, he never did clean under the foreskin; and there were blisters there. He always wanted the maid to suck his penis, but she would not; she did take it in her mouth a number of times, but once she almost vomited.

4. This reminds him that his mother told him that as an infant he had an amoeba (apparently amoebic dysentery) and he would vomit a lot after drinking milk or eating, and that he also had a lot of diarrhea!

Such an outpouring of information must be viewed as unprocessed in part, because it is too atypical of the patient. In a sense, too, this is an expression of the diarrhea that the patient has had. His fear is now

verbalized by an outpouring of events that have distressed him concerning castration anxiety. The release of so much information challenges us to put it into some kind of order. Let me try to do so.

The first thing that may strike the reader about this material is the pervasiveness of the oral imagery, in which breast and penis are almost interchangeable in the patient's thinking. Combined with this is the pervasiveness of the theme of "disgust" which may explain, in large part, Victor's facial expression upon which I remarked at the very beginning of treatment. If we can imagine, as I found myself doing, what it was like for Victor as an infant, the image that may come to mind is of a mother who -- faced with a sickly and vomitous child -- was disgusted by him, took his apparent vomiting of her milk as a narcisstic blow, and rejected him in turn. One must remember too, that years later he <u>was</u> in fact rejected for being sickly -- that is for having infectious hepatitis -- when his mother sent him to live with his grandparents. It is thus fascinating to find there is some "repeat" of this early history in the current therapy: When Victor expresses a wish for the mother's breast in his actions and words, he comes down with the same symptoms he had as a child. He is nauseous when he feeds a baby who has a cold, and he comes down with a bout of diarrhea.

The reader may also observe how Victor seems to equate the breast and the penis. It is as if, in wishing women to

suck at his penis, he wants to renew the maternal bond but with the characters reversed: The mother is to be at his mercy, now. She is to become nauseous at his poisoned appendage. No wonder, then, that Victor jumps spontaneously from recounting the maid's nausea when she tried to suck his penis, to his seeming distaste of his mother's breast as a child. In addition, one cannot help but wonder whether the castration anxiety that Victor so obviously feels is tied into his fear of oral aggression: He wished to orally incorporate the mother's breast, to express his anger toward it; and he must be equally anxious that the woman will bite off his penis. Regardless, it does seem as if the hypothesis of somaticizing in the service of the repetition compulsion, that is, in reliving of early experience as an attempt to master it, has been strengthened by the information that Victor revealed in this session. Indeed, if one is to judge from the apparent history, Victor has good reason to have become fearful of the woman's breasts.

Lastly, the reader cannot help but wonder what the heart symbolism is doing inserted in the middle of this display of new material. As yet, we do not understand why Victor suddenly felt the need to resort to a graphic image and physical movement rather than expressing himself in words. We can hypothesize that behind this action, seemingly so innocent, must have been the press of emotions that could not yet be articulated, but had to be symbolized. We can also hypothesize what the symbols represent, for we

appear to have here the heart used as a symbol of the glans penis (with the hole of the penis in the middle), or of the foreskin itself opening out; and of the breast, or more particularly, the nipple. But although one can see the symbolism, the specific reason for its sudden appearance is a mystery. All that might be further hazarded, perhaps safely, is that this is a resurrective image, a graphic substitute, as if to say, my penis is not castrated and the nipple is not gone -- see, here is a four hearted figure that stands for both.

This could have been the end of the heart imagery; indeed it was not brought up so directly again. But the reader may have wondered, as I wondered, why such a specific four hearted figure? To my suprise, this was explained by the release of an early graphic memory, to which the four hearted image had become attached. In effect, what we will see is that the determinants of this heart symbol are both general to the heart and peculiar to a specific memory of the patient; both sets of determinants shaped the four hearted image. To explain this, as well as other dynamics, I will continue in the exposition of the case.

4) Fourth Phase: Realistic Reasons for Fear and Memory of his Father

In the next sessions, Victor recounted memories of his father and what seemed to be reasons for his sense of fear and castration anxiety. For the first time, he told the

circumstances of his father's death, and how he felt responsible for the death. He also recounted how rageful his father could become: Once he stabbed his mother in the back with a knife, but it was "a small knife" and no substantial damage was done. His father would constantly beat his mother, accusing her of sleeping with other men, and once required her to take communion because he did not believe her protestations of innocence. His mother told him that when she was pregnant with Victor, his father pushed her down the stairs, severely injuring her ankles. Victor also recounts how once when he was at his grandfather's he took a knife, went out on the patio, held the knife to his "breast" looking at the moon, but then decided "it was not the time to kill myself." All one can remark, about these revelations, is that Victor evidently had good reason to be afraid of his father and that, too, there seems to be an unarticulated fantasy based on a recurrent family dynamic, that he might not be the son of his father -- undoubtedly, this adds to the Oedipal problems, or provides a defense for their resolution intrapsychically.

Victor ends this excellent sequence of sessions, in which he expresses some of his aggression toward his father, by expressing aggression toward me; and tells me he does not think he is getting anywhere and wants to leave therapy. This can be conceptualized transferentially as the wish to leave me in punishment for his father's leaving him, and in service of his fear that now that he has begun to

articulate his aggression, he will be punished for it unless he leaves.

5) Fifth Phase: A Crucial Dream In Which an Image Similar to the Heart Image Appears.

In the next session, Victor brought in the following two dreams, to which he spontaneously associated. As I have frequently found to be the case, dreams and their associations can be more logically explicated by the disturbed patient than can their real lives, as if -- released of the burden of dealing with an uncontrollable reality -- they can apply <u>even</u> their missing ego strengths to the unconscious fantasies of which they have control. The two dreams were as follows:

> <u>Dream 1</u>: I AM IN A BRIGHT RED PEUGEOT IN [HIS COUNTRY IN SOUTH AMERICA] WHERE THERE IS A VERY ELEGANT WOMAN IN THE FRONT SEAT WITH HER HUSBAND. I FIND A JEWEL ON THE COBBLESTONE ROAD -- A ROSE WITH A DIAMOND -- AND I GIVE IT TO THE WOMAN. THEN I BECOME CONCERNED BECAUSE THE HUSBAND MIGHT THINK I AM TRYING TO HAVE AN AFFAIR WITH THE WOMAN.
>
> <u>Dream 2</u>: SOMEONE IS HAVING HIS HEAD CUT OFF ON A GUILLOTINE.

At first glance, without the spontaneous associations of the patient, the dreams appear somewhat transparent. The first is a repeat of the same Oedipal theme that has been recurrent, and reminds one of the subway incident, in which he saw a man and a woman talking, whom he gathered were

husband and wife, and became concerned that the man would think he had designs on the wife. In addition, we are reminded that he had a dream after the subway incident which also featured jewelry (earrings) worn by the "wife" on the subway.

It appears as if the second dream is a superego dream in response to the wish expressed in the first dream; that is, it represents a self punishment for the desires toward the married woman articulated in the first dream. Put differently, the second dream is the "answer" to the first. The reader may have a similar association to mine: guillotining appears to be symbolically equivalent to castration, especially when this patient recently equated the head with the penis. In addition, the redness of the car seems to also be determined by this theme, and is probably associated with blood.

Victor's associations that are pertinent to our discussion were as follows: The redness of the car was similar to the red of my vest, except brighter; the woman reminded him of a woman in a televison movie whose father had died (but no one would tell her) and had been buried in a car. The jewel was like one of his mother's except that his mother's had no diamond. And the cobblestone, which were <u>yellow</u> in the dream (a fact about which I had thoughts such as "streets paved with goal" that did not pan out) were like the cobblestones near the clinic.

Despite the richness of the associations, the underlying historical events to which they referred remained unclear. Instead of pursuing them, I asked Victor what happened to the anger he expressed last time toward me. He had completely forgotten about it. I suggested that he forgot because he was afraid that he would be punished for expressing it, perhaps he even feared that I would leave him (here I had in mind that his father had left him by dying). I also analyzed the two dreams as the expression of his fear of punishment for his wish for the mother. I found myself thinking that the jewel seemed very much like the four hearted image, and I was reminded of a heart=jewel=nipple motif, but I thought that this was too tenous for the patient to accept.

In the next sessions, the patient told me even more about his father, and also brought into the session a picture of his father and oldest brother. The father became a more rounded figure, and Victor admitted to being curious about his father's sexuality. He mentioned that his mother told him that his father once went with a mistress of his on vacation, came back and presented to his mother, with the mistress present, some flowers. I cannot help but wonder how this recounted incident is related to the gift of a rose to his mother in the dream. Is the rose in the dream, which focusses on betrayal, also a symbol of betrayal?

6) The Sixth Phase: A Memory of a Beating by the Father -- Castration Fear and Death

One cannot help but notice that what Victor has been doing in these sessions, after he has been able to articulate first his fear, then his anger -- is a resurrection of the father from his memory. In the ninety sixth session, many of the pieces from the two dreams and from the four hearted image will suddenly fit into place. Victor recounted a beating by the father that evidently evoked the most all consuming castration fear -- and it is out of this incident that the complex of images that we have been seeing, emerged.

He begins the session, by saying that I look to him like a "can-evil" -- he is intentionally punning he explains, but I do look "like the Devil" to him. Apparently, he is attributing to me oral aggression, and is afraid that I will consume him or his penis. He then switches to talking about Jesus Christ, and tells me the symbol for Christ is the snake; he discusses for a while different types of snakes. (Clearly we are onto the subject of castration anxiety.) Predictably, his expression of fear turns into anger: He calls me names, and then sings a song in Spanish which is about "leaving." He wonders whether I will get angry at him for talking this way; but I say nothing.

He then tells me that there are spots on the floor near me which he knows are "blood." (There <u>are</u> a number of spots, not overly noticeable, and they could conceivably be blood, but I possess no knowledge of how they got there.

However, he is convinced that they are blood.) He relates that his grandmother once observed two of his uncles fighting and hallucinated blood on the floor and there was none. "She was crazy," he concludes. This reminds him of the fight with his sister, the "blood on the floor" from the spurting blood from his head; and from here he mentions that he is thinking that perhaps his murderous uncle (he had one uncle who did commit a murder) could murder me.

We have gotten through quite a lot of obvious castration anxiety and animosity expressed toward me, evidently as a father figure. But as yet, I do not know what it is all about. He then tells me that when he was a youngster, four or five, his father beat him for something with his belt. In the midst of the beating, he asked whether he could go "pee." His father said yes, and he went to the bathroom where his father watched him urinate. Then his father took him outside and beat him again. After reciting this, Victor says to me. "There's something about that which is strange; it's homosexual, isn't it?"

After saying this, he becomes quiet for a while. Then he begins to talk to me about his father's house, in particular about the bathroom. There were "nice tiles there" -- apparently made of a type of stone called "obra negra" -- and a rose on the floor. He remembers that pattern on the floor very well; there were four white roses and a red one in the center.

I hypothesize to myself that I now have the key to an understanding of a great deal of material which formerly seemed arbitrary or abstruse. The thought that occurs to me is that this experience with his father must have been a terrifying one, in which his castration fear was paramount. I also am thinking that it would appear as if -- given the emphasis on death, violence, blood and separation that preceded this remembrance of the bathroom beating and the bathroom floor -- the castration fear in the bathroom has combined with the memory of his father's death. That is, he must have experienced a profound sense of ego loss in this bathroom incident, of overwhelming fear as he stared at the floor -- and one must wonder whether his father specifically threatened his penis during this time -- and the fear must have been accompanied with hatred for the father. Thus, the subsequent death of the father would combine with this prior incident. The wish would be to kill or castrate the father and the father's death might seem to the child, a consequence of the prior death wish. Clearly the equation here is that castration equals death.

However, this appeared to me too broad an interpretation to hazard. I merely remark to Victor that he has now explained a number of elements in his dream of the red Peugeot. For one, the pattern on the bathroom floor appears to have determined elements in the dream: the cobblestones seem to have reference to the tiles of the

floor, although we do not understand why they are yellow, and the rose jewel resembles the pattern on the floor. In addition, the four hearted pattern he drew on the arm of the chair bears a striking resemblance to the bathroom floor pattern. (I mention too that he gave the woman in the dream a rose jewel, just as his father gave his mother flowers.) It seems that this bathroom beating has had a profound effect on him, I say, as it has appeared in so many symbolic manifestations.

Victor continues to tell me about the house; he remembers that he played on the patio, which also had a tile floor, where there were clay pots, supported by three sided iron stands -- and he describes vividly how the iron curved and had sharp points on the ends. He was playing near them with his older brother once, and his brother fell on one of them, and he got a cut on his neck. And then -- with that instant of recognition -- Victor remembers how his brother had a tracheotomy in the hospital before he died many years later. (Here is a residue for the guillotining in the second dream.) I end this session by commenting how the subject that we began with was "blood on the floor" and now we have discovered in reference to his brother that we have returned to it.

Clearly, there is an immense amount of material in this session, and there is no way that the patient is going to be able to process it dynamically; it is enough that he has

begun the process of remembering, for in itself this is a resurrection of sorts. What is striking is that this castrative bathroom event, like the root of a plant has many associations and symbolizations extending from it, suggesting that there is in this event entirely unprocessed affect or put differently, that Victor -- to retain some intact ego -- has separated the affect from the memory. Events have stuck upon this central core -- events in which castration and death are the motifs -- and the core has become bound and entangled.

As to heart symbolism, which is our particular focus, let me delay in discussing it until I complete what seems to me the revelation of the historical event that ties together the bathroom incident with the father's death. I will only note what may have already occurred to the reader: That blood appears to be a major element in the historical events, and the dreams, as a consequence of evident castration fear; and that it should not be surprising to find the heart image in conjunction with blood and castration fear, to say nothing of the heart as a symbol of death and resurrection.

7) The Seventh Phase: Tying Things Together -- Memory Emerges of the Father's Death

Over the next few sessions, I make some interpretations to the patient about the fact that he seems to feel responsible for his brother's death and his father's death. Initially, he denies this, and does so angrily. But in the

ninety eighth session, he brings in two dreams -- which I will not go into in depth -- in which there is obvious reference to himself as a Christlike figure who is doing battle with another man who wounds him with a knife "but the wounds do not bleed," and who also is identified with a broken clock. During the session, he tells me he has been "thinking about what you said, about feeling responsible for my father's death." He remembers that he did not cry when his father died. In fact, an uncle gave him two pesos, and people gave him money, which made him happy. He remembers that he got chiclets -- and here he describes with great but clearly inappropriate feeling how he loved the colors -- purple, orange, green. In fact, he remembers vividly how he walked up a yellow dirt hill with a cousin to go to the store to get the chiclets.

He remembers too seeing his father in the casket; he looked like an "Egyptian" because part of his head was covered with white, just his face showed. He remembers that his mother was crying, and some of his sister -- his mother calling to him, "Darky, Darky" and some of his sisters cried -- but he didn't cry, just as he didn't cry for his grandmother's death or his brother's. In fact, he was more upset when his mother got rid of his dog, for biting a new maid, later on -- that he cried for. But he could not cry for his father's death. Really, he does not feel anything, and just goes through the motions. "Like a

bleed," I say. He hesitates, then sees the connection, and says: "Yes." Later on in the session, he wonders to me whether he does not sometimes think that by masturbating he will make his father, brother and grandmother, live once again.

Before we get to the broader issue of symbolism in general, and some of the dynamics, some of the particularities of the dreams were explained by this session. For one, apparently the yellow cobblestone road in the dream in addition to representing the cobblestones outside the clinic combines two aspects of Victor's memory of his father's funeral -- the yellow dirt hill that he walked up after his father's funeral; and the chiclets (in shape similar to the cobblestones) which he bought. In this way, two incidents are merged in the patients mind, and combine in this dream: The terrifying bathroom incident (in which his focus is upon the patterned stone floor) and the funeral of the father (in which his focus is upon the chiclets and yellow dirt hill). Nor should this really be surprising in terms of dynamics: For one of the wishes implicit in this dream, in which he pursues a mother figure, is the death of the father figure.

8) Commentary on the Creation of Symbolism in this Case, and the Heart Symbolism in Particular

Granted that tracing out the logical connections that contribute to the structure of dreams and symbolism in this

case has been arduous, I nevertheless hope that I have succeeded in making the pattern clear to the reader. To gain insight into this pattern, it will be helpful to step back for a moment and put it into perspective. What we appear to have here is a traumatized child. He is quite correct to point out -- and indeed it is one of his strengths that he can at least do so -- that he has been unable to mourn the loss of his father (and brother and grandmother). What he is saying in another way, is that his affect has been separated from his processing or memory of events. Toward such an overwhelmingly terrifying father, toward whom this child must have developed such ambivalent feelings -- of terror, of pleasure in the attention he received from this obsessed man, of pleasure in pain, of hatred -- he was not able to develop a neurotic attachment; rather he seemed unable to protect himself from a merging, on the one hand, and an unreal distancing on the other.

Phenomenologically, one is struck at how appropriate the Jungian hypotheses are to this story. For what seemed to emerge was a reliance upon a symbol -- the one which began the tale -- namely the four hearted symbol. It is as if this symbol emerged from the unconscious, having taken as its material the four rosed pattern on the bathroom floor, as well as the general association to penis and breast. A jewel, in itself, is often a symbol for the penis and testicles, so that offering a rose jewel to the woman in the car can be a reference to a sexual offering; but also -- one

is reminded how the jewel seems to represent, too, the nipple, as if this is a peace offering to the mother -- a wish to return the nipple that Victor wanted to consume.

But there is something strikingly archetypal about this. It is as if the jewel represents a core, almost fetishistic in nature, or the seed of two historical traumatic incidents. In fact, the analogy that appears to me is in the nature of the heart=seed=small stone equation. We have already seen how the Aztecs and ancient Greeks, used a small green stone to depict the heart, and how it seemed to represent a seed, in the hope that that seed would magically resurrect. Here the motif seems to be the same. Heart=jewel=small stone=flower: all the elements are here; and dynamically are part of a poignant story in which the themes of death and resurrection are paramount.
As no doubt the reader has concluded, there is really here the core of the development of a psychosis in the patient. Note how the imagery is one of light attaching to substitute objects at the time of both traumatic events. Most evidentiary of this, is the great attention focussed on the yellow dirt road and the colored chiclets at the time of the father's death.

This patient was simply unable to fully process these early traumatic events. Symbols and substitute objects formed in the break in the ego processes. At first, in therapy, the symbol announced itself apparently completely divorced from history, although evidently related to breast

and penis. Then, it became clear that the symbol grew out of historical stimuli, or stated more clearly, was synthesized from them. Blood, or fear of it, castration fear, flowered patterns on a bathroom floor, all of these lay behind the particular elaborations of the symbol -- that is its appearance as a jewel, and in conjunction with the number four.

Conclusion

Therapy continued with Victor for more than a year and a half beyond these events, but under trying circumstances for his fragile integration. He saw me during my internship year, at a reduced number of sessions, and at a distance requiring extended traveling time. For a while, he maintained good therapeutic contact and worked through vividly the death of his father and brother. However, when it became clear that I would leave him at the end of my training, he acted out, missing sessions, becoming violent toward one of his sisters, and in one instance calling me at home at midnight (to ascertain whom I was with). At one point, he admitted that he was afraid that I might become a "real person" to him and he would then feel my loss. To complicate matters, his mother remarried, which threw him into a state of rage, depression and dependency. He passively resisted attempts to get him into treatment with another therapist. In the end, he effected a last minute ego controlled acknowledgment of the separation, with the intent of continuing with a therapist chosen by his mother.

VICTOR'S CASE
DIAGRAM OF THE CREATION OF A HEART SYMBOL
DURING THERAPY

FOUR HEART SYMBOL AS RESURRECTIVE

Stylized heart as breast and phallic Symbol

Mother's jewel also nipple symbol.

Dream #1: Gives rose jewel with diamond to Mother Figure, husband in red Peugeot, yellow cobblestone street.

Breast equated with phallus

Dream #2: Guillotining

Later events: Brother's neck injury on tile floor, tracheotomy.

Oral aggression and wishes for Mother's breast.

Four white roses, one red on tile bathroom floor.

Chiclets, yellow dirt road.

EARLY REPRESSED EVENTS

Early trauma in breast feeding: maternal rejection and biological causes (amoebic dysentery)

Beating by Father at 4 or 5 years in bathroom -- castration anxiety, fear of blood, ego loss

Death of Father at 5 years.

TRANSFERENCES PERMITTING WORKING THROUGH

Therapist as Mother Figure in transference -- sudden cold symptoms

Therapist as Father Figure in transference --"blood spots" on therapy floor, cobblestone street outside clinic, therapist's red vest

CASE THREE: GWEN -- THE HEART AS A SYMBOL IN PROGRESSIVE DRAWINGS OF AN ELEVEN YEAR OLD GIRL

The next case is that of an 11 year old girl, Gwen L., who came into treatment once a week for approximately one year, and who during that time made a number of drawings that incorporated the stylized heart shape. It is being presented for a number of reasons. For one, it provides additional evidence for the derivation of the stylized heart shape, as a symbol of the breast. It also provides evidence for a number of other equations, most strikingly heart=vagina, heart=womb, and heart=seed, with an emphasis upon the concept of death and resurrection.

In this case, the patient presented a series of graphic heart symbols over the course of therapeutic treatment, rather than an isolated graphic heart symbol or a series of heart symbols without striking graphic components, as in the cases of Victor and Robert respectively. Here we are almost able to monitor the progress of treatment through the changes which take place in graphic symbolism in general and through the manner in which the heart shape is employed in particular. Gwen was confused and fearful about sexual matters, which was apparent from her initial drawings. As therapy progresssed, she made drawings which reflected her increased ability to reconcile herself to sexual differences between male and female, and to understand such phenomena as pregnancy, birth, and sexual intercourse. Symbols began to

lose some of their symbolic power, because the referents -- breast, vagina, womb, penis, birth, and sexual intercourse -- were no longer as affectually loaded. They did not need to be hidden but could be talked about openly, and could become subject to a more normal sublimation. In particular, the heart began to lose its sexualized meaning.

What is particularly felicitous about this case is that Gwen's heart depictions resemble in many ways those published in an article by Barchilon concerning a two year "evolution" of drawings of a "normal child" (Barchilon, 1964). These drawings were elicited or made spontaneously by a young girl, starting when she was 4 1/2 years old. The girl was not in treatment but was the daughter of a psychoanalytically sophisticated friend. Two months before she made the first drawing, she was subject to a seduction: The older brother of a girlfriend of hers had asked her to touch his exposed penis. Her first drawing was heart shaped, but clearly symbolized a vagina, and was replete with curly hair resembling pubic hair, and teethlike additions, suggesting a vagina dentata (see Figure 31). The symbolic equation appeared to be heart=vagina. At the same time, this drawing showed another heart, a "baby heart", inside the larger heart. Thus, the heart also appeared to symbolize a womb and a fetus. The symbolic content of this drawing seemed to be the derivative of the girl's wish to defend herself against the penetration she feared at the time of her seduction by the older boy.

I do not wish at this time, to go into further detail about Barchilon's study, which I will pursue at the end of this case presentation. My primary purpose in bringing it to the reader's attention now, is to note the parallel between the heart symbology of the child in Barchilon's study and that of Gwen. This parallel suggests that the heart shape may frequently function as a symbol in children's thinking in our contemporary culture.

Gwen's treatment also will illustrate a general point concerning childhood development. As we have already observed in the two previous cases, children exposed to sexual stimulus denied its affect and denied clear explanation, can become subject to severe repression. When the parents are party to premature exposure the problems are even more complicated. In this case, premature sexual stimulus and exposure were hypothesized on the basis of the drawings, on blackboard and on paper, that Gwen made in her sessions. In these drawings, objects manifestly one thing, as clearly stood unconsciously as referents for another -- a horse and rider for a man and his phallus, an "upside down ice cream cone" for a vagina. These drawings were so striking, and introduced so early in treatment, that my supervisor and I, particularly in light of Gwen's studied naivete felt alerted by them to the possibility of Gwen having been subject to sexual stimulation of some kind. It was thus no surprise to discover this to be so, as a consequence of atypical sleeping arrangements at home.

Saving the details, the point I wish to emphasize now is that Gwen's heart symbolism was embedded in a general symbolism concerning sexual referents, and that therapeutic intervention was required to help her to disengage from the psychologically paralyzing affectual power of these referents. In presenting this case, I have attempted to include this general context of symbolism.

2) Gwen's History and Presenting Problems

Gwen was a slim, attractive, well groomed child, with long, braided hair who seemed somewhat distant, almost ethereal, on initial contact. She had come into treatment for a number of reasons, the common denominator of which appeared to be that she was anxious and easily frightened. She was terrified of television murder movies, had frequent nightmares, and became extremely nervous at school, especially around examination time. She was experiencing difficulty in school, and one teacher remarked that "she seems to live in a fantasy world all her own." For years prior to the onset of these symptoms, she had stuttered, which was aggravated when she became nervous, and her parents had taken her for the past two years to speech remediation therapy at a local hospital which they felt had helped considerably.

Her parents evinced complete puzzlement about Gwen's sense of fear and terror. Her father was a burly man, employed as a truck driver, who had a blustery agreeableness about him. The mother, a homemaker, appeared gentler than

her husband. It was evident that both parents were concerned about their child, whose sense of terror they contrasted with what they perceived as the greater equanimity of her seven year old sister. The parents were Catholic, highschool educated, conservative and conforming in outlook. They blamed Gwen's problems, insofar as they could locate a source, on pressures from outside the home: She had an insensitive teacher at her Catholic school the previous year, who punished the class by making the students write the same sentence over and over; the school system pressed the children at too early an age, testing them unnecessarily; television programs were too violent in content for children to watch. It was striking, however, that these parents seemed unable to protect Gwen from any of the stimuli they perceived as threatening. It had not occurred to them to confront the teacher, to minimize for their daughter the significance of the testing to which she was subject, or to simply curtail her television viewing. Whereas they lamented their daughter's fears, they exhibited, if not exactly fear at least a great deal of awe of authority.

The parents had thought about other things that might be disturbing Gwen, and had not been able to identify them. The stuttering, whose onset they had difficulty dating, was a mystery to them. It was possible that some of her more recent fearfulness had been brought on by an incident that occurred six months previously, in which their home had been

burglarized in their absence. In addition, a year previous, Gwen's paternal grandfather and grandmother had died, one week after each other, and both from heart attacks. Whereas Gwen's father was deeply upset about these deaths, Gwen appeared to the parents to have recovered remarkably quickly. No, they just could not understand why she was so fearful, and so "passive."

The parents were pleasant enough in their approach to me as a therapist; but I could not help but think that they seemed too pleasant, or too cautious, and that they were remarkably unpsychologically minded. Also, I was struck by the fact that in the initial interview, the mother sat almost with her back to her husband, as if to indicate that a great deal was left unsaid about their own relationship. Attempts to draw them out a bit about how they were relating to each other, met with statements from both that everything was fine. But I could not help but think that something was being nonverbally communicated, and verbally avoided, in their conversation with me.

3) The Early Sessions

Gwen came very readily into the therapy room in the first session, and despite the presenting problems, it was noticeable that she exhibited no manifest signs of anxiety, although her stuttering was apparent. However, her behavior in the early sessions appeared to be characterized by a great deal of caution, and a wish to demonstrate to me that she at least knew the appropriate rules of conduct. She was

extremely attentive to keeping clean; and she began each session by going to a blackboard in the room, and demonstrating on it, as if she were the teacher. As her pattern for these sessions developed, she characterized this ten minute obligatory period of blackboard work as a demonstration of what we would be doing for the rest of the session; and she would end the work by saying: "And now we can play." She would then carefully wash her hands at the basin, and dry them.

Curiously, however, whatever play ensued had no discernible manifest relationship to the blackboard work. In addition, although what followed was play, it was not mutual play, for she almost never invited me to join her. Instead, she demonstrated to me, primarily by playing with a dollhouse and dolls. Her unwillingness to ask me to join was not just an initial reaction to the unfamiliarity of the situation, as I first supposed. It continued throughout treatment. In addition, the seemingly sophisticated initial structure of each session, was at a marked discrepancy with the content, which was often very childlike. This overall discrepancy between form and content, as if form were a shell without meaning, was very curious. It created the impression that there were uncomprehensible but no less crucial rules governing our behavior and that in relating to each other, directness was to be avoided, was even forbidden. In fact, when I attempted to be direct with Gwen, she either seemed to take it as an assault, or she

responded -- as if to give me clues that she was still there -- with an understanding of the task at hand, namely making her less confused and happier, that seemed surprising in light of the tangential nature of her interaction with me. Sometimes, if I made an interpretation that went a little too far for her, she had a look on her face which I found myself comparing to that of a frightened deer, a kind of wideeyed look, which she turned on me -- as if she never quite knew what this strange person beside her would do or say. At the same time, I could not help but wonder whether there were something studiedly naive about this look. This doubt combined with an impression I received toward the end of the first session, when we sat on the floor together to play, and Gwen adopted a position in which her face was close to my crotch, as if she were curious about my genitals. Was this the announcement of a theme, or was I simply misreading the situation?

If it were an announcement of a theme, there appeared to be another, and perhaps related, theme, in the second session. In this session, Gwen drew some babies on the blackboard, in a very childlike style, and then some people watching them. I thought that perhaps this reflected her discomfort with my observing her, and asked her that. She disagreed with me, and said that the people were watching the babies so nobody would steal or kidnap them. Attempts to get her to elaborate were unsuccessful. One hypothesis that did occur to me, particularly as this theme continually

recurred, was that however frightening the outside world might have been for Gwen, in terms for example of the burglary which I thought probably related to the fear of being kidnapped, something intrapsychically was disturbing her, and a prime hypothetical candidate was severe castration anxiety: The fear that someone had stolen her penis. Outside events might activate such anxiety, but intrapsychically something had to explain her overwhelming feeling of fear. An interpretation about castration anxiety even if accurate, was far too deep to contemplate yet, however. For the time being, it would be necessary to follow the manifest content of her productions.

In the third session, a partial answer to some of my questions was given, as well as a great deal of psychodynamic material, presenting as many new questions. In describing the session, I have extracted some of the highlights. The session began by Gwen telling me of a dream she had the previous night that frightened her. As she related the dream, I was struck at how much more animated she became, and how much more direct. (Previously, I made the same observation about Victor's dreams. Perhaps, because a dream involves dynamic wishfulfilment material but ostensibly "unrelated" to reality, the confused patient can imbue it with affect that he hesitates to invest in real life. Ironically, not only is the dream as a consequence more affectually immediate, but in relating it, the causal

connections often missing in describing real life, are articulated.) The dream was:

> I AM IN A ROOM AND SOMEONE IS WATCHING ME, AND I GET SCARED. I OPEN THE DOOR -- AND MY MOTHER IS THERE -- AND SHE YELLS AT THE PERSON.

When we talked about this dream, I wondered to her whether it had anything to do with the fear of someone stealing babies she expressed in the previous session. "Are you afraid, sometimes, that someone might kidnap you?" I ask. "Yes," she answered. I wondered to her why anyone would do that, but she did not know: "People just do that kind of thing." "Perhaps," I hazarded, "You are worried that would happen because of something bad you did, as a punishment." She agreed, but then became noticeably anxious and instead of continuing the conversation, she began to play with a doctor doll and a boy doll. The doctor doll gave the boy doll an injection. I was not sure of the meaning of this: Perhaps she hopes that I will prevent her from being kidnapped, in the same sense as a doctor prevents a disease by giving an injection; but I thought too that an injection is not a pleasant event, particularly for a child, and perhaps she thought of these sessions as an ordeal. In addition, I wondered about the possible sexual meaning of an injection, in which the doctor intrudes a painful, phallic object into the patient. Was the hunch I hazarded about her doing something wrong too intrusive or did it, for some reason, take on a sexualized connotation as well?

Gwen then began to play with other dolls, making up an elaborate story about a man who was being chased by a policeman. In his flight, the man threatened to hurt a boy and a girl but the they ran away from him. The man was being chased by a policeman for something that he did. (Is this, I wonder, the articulation of a wish that I be punished for making a painful interpretation.) "What did he do?" I asked. "He stole something," she replied, but contended she did not know what. Then she began to play with the dollhouse and stated that there are "not enough beds." I was not quick enough to realize the implications -- that the man must have stolen "a bed" in some way -- but I got her message on some level nonetheless, for I then inquired about what the sleeping arrangements were at her home. She told me that sometimes she or her sister slept with her mother. Something about the manner in which she said this -- a reticence -- told me that it was not the full story. But I decided not to press her further, for fear of frightening her. I wondered, though, whom she felt she might be protecting (if there was something atypical in the sleeping arrangements). Was it the father (the male figure fleeing the police)? Gwen, at this point, could only reveal things to me through play. So I continued to observe.

Next she constructed on the side of the dollhouse a car, out of leggo blocks. "Who drives the car in your family?" I asked. "My father," she replied. Her mother did

not drive and she did not know why. I found myself wondering whether car=phallus (a powerful mechanism on the side of the body) was a symbolic equation here, in light of the possibly castrative theme of kidnapping.

Next Gwen left off playing with the dollhouse and went to the desk. She asked whether she could draw a picture. We got material. She drew with a crayon a striking picture of a horse and rider, and hoofprints underneath, and wrote "The horse is a very very big horse" (see Figure 37). The picture is so obviously a man with a gigantic phallus, and the hoofprints are enclosed by an outline that so strongly suggests the phallus, that despite the fact that one of my hypotheses had been that Gwen had been subconsciously referring to the phallus and castration anxiety, I found myself taken aback. The great virtue of this graphic symbolism is that it confirms so impressively the hypothesis that the phallus has been a subject of concern of hers albeit subconsciously so. Not only does it indicate that I was not misreading the physical clue she gave in the first session, when she appeared interested in my phallus; but hypothetically it explains a variety of events so far in treatment: The injection she gave to the boy doll, <u>did</u> have a sexualized meaning, her ambivalent wish for a curative "penetration". Her father drives the family car, because only her father has the phallus. Perhaps the man who stole something <u>is</u> representative of the father with the large phallus. Put differently, perhaps, her fear of burglary, a

real event in her life, has become associated with her fear of her father intruding upon her -- the man with a giant phallus who might penetrate her or has stolen her own phallus. Further, what the reader might have noted, the child doll she uses, is a boy rather than a girl. In fact, this was generally true in treatment; and the family she depicted usually had one girl child and one boy child. The fantasy here appeared to be that she was a boy; or perhaps we could express it as the manifestation of her defense against accepting her lack of a penis.

It should be noted that all of this was expressed symbolically. No mention had yet been made by or to Gwen of the obvious referent, phallus, or the conceptual concerns of penetration and loss. The multidetermination of these symbolic events, and their early announcement in therapy, suggested however that the themes they involved would increasingly became explicit in therapy, as the referents became articulated.

However, it should be noted that a lot of information is missing and that so far what we have is highly speculative. There <u>does</u> seem to be something troubling Gwen about the sleeping arrangements at her home however. In the coming sessions, there were wide variety of doll sleeping arrangements: the entire family slept together; mother and father slept separately from one another; the two children (usually male and female) slept with different parents in separate beds. Exactly what this meant in

reality terms remained unclear for a long time. This does not strike me as unusual, for the therapist stays in the dark about the "reality" determinants -- the traumatic events -- long after the symbolism has made the dynamic issues apparent. The last thing to give way in any defensive system is the conflictual material that represents the repressed source, of the fantasies and accompanying symbolism.

In the fourth session, I used an opportunity to make mention of the horse and rider drawing, and suggested that in addition to having the appearance of a horse and rider, it looked to me like a penis. My supervisor and I had considered whether or not to be so direct; and had determined that it might be helpful for Gwen to know that this type of material could be openly discussed. Beside, there was something terribly blatant about this drawing. (Nevertheless, I was reminded in saying this to Gwen of a reversal of the classic joke -- which in a way characterized therapy with this patient -- in which a patient saw in each Rorschach card a sexual picture. When confronted by the tester, he responded: "You're the one showing the dirty pictures." Here, for a moment I felt that I was the one making the dirty interpretations. Was this the way the patient was made to feel at home, when she perceived something sexual and had she than succeeded in incorporating the parental attitude?) The patient of course denied that the horse resembled a penis. It was not, however, the

purpose to get an explicit confirmation, but to let her know that I was willing to speak about this material. In retrospect, the long term consequences of this effort to articulate the referents appeared justified by the greater openness and relaxation of the patient, as we shall see.

For example, in the next session Gwen began to squeeze a mother doll, and heard a noise caused by air being expelled from a hole in the rubber between the doll's legs. She examined the hole with care, spreading the legs apart. "What is that hole?" I inquired. She did not know; but then she picked up a girl doll, and squeezed her, also creating a slight noise. "She's tighter," Gwen announced with evident satisfaction. Then she placed the mother and father doll in separate beds.

What was this about? There were a number of possibilities. One was largely Oedipal in nature. Gwen ambivalently wished to protect the mother from the penetrating father, and to prevent the father (who could not gain access to the too "tight" girl) from enjoying the mother's company instead. In other words, the separate sleeping arrangement was in the service of Gwen's ambivalence (her jealousy and concern) about her mother sharing her father's bed. Regardless of whether this hypothesis was correct, the theme appeared to continue in Gwen's next action. She built a railroad, with the roof from a toy house over one section of the track. When she put a toy train on the tracks, it would not fit under the

roof, or "tunnel." As she struggled, I said noncommittally "It will not go through." She then reconstructed the roof, with some effort and was very satisfied when the train did go through. Symbolically, this action appeared representative of sexual intercourse. Her anxiety appeared to be a consequence of pronounced ambivalence: She was afraid that the phallus would be too large for the vagina; but she also was fearful of penetration of any kind. Thus, we have come to see a child who initially presented herself as naive, as obsessively concerned with a sexual theme, whose dynamics and basis in reality we do not yet understand.

There was certainly other possible symbolism in these events, of which I was aware, but I have only emphasized so far that which I felt at the time was most prominent. The multiple meanings of Gwen's actions are <u>in</u> the data, that is they are a product of her multiple concerns. In addition, they have a common conceptual basis: Gwen's fear of penetration on the one hand, and of the loss of bodily appendages and bodily contents on the other. For example, the squeezing of the doll and the noise, may well and correctly remind the reader of flattus. Indeed, just prior to this squeezing, the patient had placed a doll on a toilet seat, and remarked, on questioning by me, that in her family they did not use the word "potty" but said "going to the bathroom" instead. The simple naming of bodily functions, appeared to me important to this patient, who as we have

already begun to suspect, was very confused about sexual functioning. Indeed, one of the signs of improved progress in treatment was that the patient, so painfully contained and fastidious in her initial sessions, began to become more spontaneous and more willing to dirty herself in the course of a therapeutic hour. Further, although therapy did not proceed long enough to obtain any firm data on this, the reader is free to speculate on how much of this patient's stuttering was the product of an ambivalence about "letting loose" bodily contents. In addition, and this became more central to treatment, a third symbolic meaning to her examination of the holes in the female dolls is possible: the patient had already brought up the subject of babies and pregnancy, and some of this material, concerning whether or not an object could fit through a hole, seemed to express a concern about birth. None of these symbolic meanings are mutually exclusive. I opted for the genital one as being most likely. Regardless in symbolic terms, Gwen seemed to equate penis, baby, and feces -- those objects that enter or leave the body from a hole, or appear to have been separated from the female body.

C) The Introduction of Heart Symbology

I have made such a seemingly lengthy introduction to the heart symbology of this case because I wished to place the heart symbolism within context. Gwen had already introduced verbal and graphic symbolic material -- horse and rider, car, train as phallic symbols, and tunnel as vagina.

In the next sessions, the heart appeared as a sexual symbol. It should be noted that the symbolic focus appears to shift in these sessions from the phallus to the vagina; or put differently, the patient began to recognize the vagina in her symbolism, as if she had announced her willingness to accept that, as desireable as is the phallus, some other entity does exist. All of this took place within the context of the Christmas holiday. Although the patient spoke enthusiastically about her Christmas presents, it seemed to me that the one present for which she might wish, the phallus, had not been forthcoming. Perhaps this disappointment too, helped to change her symbolic focus to the vagina. Whether or not this is so, the theme of Christmas and the Christmas tree became very pertinent. In fact, in the previous session, the patient gave to me a present of a drawing of a Christmas tree -- almost as if to say subconsciously: "This, like the horse and rider I gave you last time, can represent the penis. I give it to you as a present to show I really do not covet yours."

It should also be noted, that in my next conference with the parents, they informed me that they <u>never</u> discussed sexual things openly in the family, and disapproved of educating their daughter about sex, because they felt it was premature. And yet, I could not help but notice that her father encouraged her, in buying an expensive cosmetic kit for Christmas, in beautifying herself like a grown woman.

Again, I was impressed by receiving a mixed message from these parents.

D) Heart Symbology Becomes Explicit

So far, the reader will no doubt have noticed, there is no indication that the heart would appear as a symbol in Gwen's treatment. The only explicit mention of the heart (and not by the child) occurred in the account by the parents of the heart related deaths of Gwen's paternal grandparents, one after another -- almost as if one grandparent could not bear being left behind -- approximately a year previously. (For some interesting examples of similar instances in which a heart related death follows right upon the heels of the death of a loved one, see Engel (1971). These striking coinicidences are suggestive of self-punishment by the surviving loved one, the dynamics of which as related to the heart I discuss in my article on heart symbolism (Reichbart, 1981).) The reader may also have noticed a similarity between Gwen and Robert previously reported, in that a presenting complaint of both was "test anxiety," presumably accompanied by palpitations, but it appears to be stretching it to expect, on this tenuous basis, heart symbolism to emerge in this case. However, these instances of the heart appearing in Gwen's treatment are useful to note; for if the heart symbology does emerge, a therapist can more readily determine the dynamics of the symbolism.

Briefly, to summarize what we do know: We have an evidently terrified child, and we suspect that the terror is the product of an intrapsychic reaction to some trauma or traumas. What we hypothesize to be at issue is the child's own murderous impulses, probably brought on by the trauma, which she now resolutely represses or projects. Part of her repressed rage is evidently directed toward her father or at least toward a father-figure, and relates to her feeling of having been castrated. We also have observed that this child exhibits, through her actions and use of symbols, an obsessive concern about sexuality; and that she utilizes a defense of denial (and an attitude of supposed naivete) against acknowledging her curiousity, confusion, fear, and anger concerning these matters. Lastly, we have a general feeling, related to this child's naivete, and to the "niceness" of her parents, that things are not quite "right" about how this case has been presented to us, by the parents (and by the child). In other words, something is missing from the account of what brought on Gwen's symptoms. In the next session (session 5), heart symbology played a role for the first time, the patient's concerns are elaborated, and the hypothesis of severe castration anxiety was confirmed.

Gwen began this session by drawing on the blackboard the trunk of a tree, in the middle of which she put a circle. Inside the circle, she drew a childlike form notable for its indeterminate and limbless shape. She said that it was a "squirrel." (I have reproduced the picture

from a sketch that I made in my notes immediately after the session (see Figure 38). Because this blackboard drawing, and others which followed, were drawn in chalk by the patient, and erased afterward, there has been no way unfortunately to preserve the originals.) The tree reminded me of the drawing of a Christmas tree she gave me at the end of the previous session, and I continued to assume that the tree was a phallic symbol, at least in part. Next to the tree, the patient now drew three small trees which she called "baby trees." (Not until supervision did I recognize that the first tree, with the poorly defined shape or "squirrel" inside it, could represent a baby, or fetus, inside a womb.) When I saw that she had drawn <u>three</u> "baby trees" -- the number three often being symbolic of the phallus, because of the association to two testicles and the penis -- I took it as confirmation of my hyothesis that a major referent to these symbols is the phallus. I also thought that drawing <u>three</u> babies after drawing <u>one</u> "adult" tree might represent a desire to make restitution as the consequence of an initial wish to castrate the adult. My thinking here was as follows: Frequently a person attempts to undo his wish, by depicting <u>many more</u> of the object toward which his death wishes and aggression are directed.

In addition, the reader may also note that this session comes after the beginning of a New Year, which in itself celebrates the <u>death</u> of one old year, and the <u>birth</u> of a new, young one. Thus, I could not help seeing a parallel

between her drawing and the theme of death and resurrection. The hypothesis I developed was that the Christmas tree at home, the phallic symbol, must have been taken down recently, that is, it had symbolically been castrated or died, and that the "baby trees" in the drawing expressed the wish for its resurrection. Thus, I asked whether the tree had been taken down. "Yes," Gwen responds, "It was taken down this morning"(!). This type of immediate confirmation of an hypothesis based on psychodynamic data is very satisfying to a therapist, and does not happen all that frequently. The skeptic may respond that it is simply a "coinicidence" or, even better, that the idea could have been arrived at without such an elaborate process (it being after all the time of year that Christmas trees <u>are</u> taken down) but as therapist it would be foolish to discard at this point an hypothesis which in appearance had proven so powerful.

Gwen now makes another drawing, which she told me as she executes it, is of a friend of hers, named Hanna (see Figure 39). Hanna's torso is a triangle, with its apex on the top, which appears to be an association to the <u>three</u> trees of the previous drawing as well as to the triangular shapes of the trees. Inside the triangle, Gwen drew a <u>heart</u>, just slightly smaller. Now I noticed how the theme of something inside the center of the body, as the circle containing the squirrel inside the center of the tree, repeats itself. I also found myself wondering whether the

heart, with the placement of its double crescents at a level where female breasts would be, functions here as a breast symbol. Further, I was associating to Barchilon's article, in which the 4 1/2 year old girl made a very similar sketch, with hearts inside hearts, that were clearly representative of the vagina and womb. Still further (and in these symbolic associations one sees the virtue --and the complications--of being already familiar with the literature), I wondered about the triangle, which initially I thought of as a phallic symbol, and a continuation of the former phallic theme; but which now I found myself thinking of as a vaginal symbol, the triangle being historically a vaginal symbol as recorded repeatedly by prehistoric man in his cave drawings. As I was contemplating all of this, Gwen told me that she was going to "change" this picture into a boy. She did so by drawing, directly between Hanna's two legs, a third leg! It would be difficult to miss this as the symbolic equation leg=phallus. I wondered whether she would leave such an obvious phallic symbol on the black board. Instead, she continued drawing, adding a fourth leg, also between the original two.

Now the reader may wonder what Gwen was trying to communicate to me on a subconscious level in these drawings. The repetitive theme, it seemed to me, was that she was telling me she was confused and angry that she is a girl, a person without a penis. She wished to change magically into a boy and to give herself a penis, which she depicted as a

third leg. A penis itself, it should be noted, is a "magical" symbol because of its innate characteristics, particularly its magical erectile power. In addition, her castration anxiety is evident by the fact that the boy ended up having four legs, suggesting a compensation for her wish to remove his penis -- we have just touched upon this type of compromise formation. Note also that Gwen previously depicted a phallus in the shape of a four legged animal, namely the horse, and the boy now has four legs too. Even the consecutive use of the triangle, in its capacity as both a male genital and female genital symbol, suggests sexual confusion and magical transformation.

As if to affirm this last point, and indicate that the triangle has acquired magical properties permitting it to be male or female, Gwen now said to me, "I am now going to take the triangle to draw something else." Thus, next to this figure, she produced a second one. Instead of a heart inside a triangle, she drew two triangles near to each other in size but inside one another, with the base on bottom. She made scrawl marks between them. Underneath, attached to the base of the triangle, she drew a semicircle, with a smaller semicircle and a small rectangle, attached to the outer edge of the semicircle (see Figure 38). She told me: "This is an upside down ice cream cone." Had I reacted a little more spontaneously, I would have shared with her my instantaneous thought, which was: "But won't the ice cream fall out?" and by so doing elicited some additional

information. But I was so struck by the multiple meanings of this drawing, as well as the unexpected confirmation of some of my hypotheses, that I missed my opportunity. (We are all, of course, far better therapists in hindsight.) The drawing which does not have a heart shape in it, but was created right after the heart shape drawing, resembles it closely, and took, explicitly, a portion of the heart drawing, namely the triangle. What was the meaning of this drawing?

One thing was apparent from it. This child was working on multiple themes. One theme appeared to be her concern about death and birth, and this theme had been evident from the beginning of the session. It seemed logical that the heart, an ideal symbol for life and death, should figure in drawings dealing with this theme. More specifically, the heart appeared to function in the first drawing as a <u>womb</u>, an hypothesis we arrive at by the similarity of the circle inside the tree, and the heart inside the triangle (as well as similar examples from Barchilon's child study). Perhaps, in fact, the upside down ice cream cone is related to this heart as womb symbol, in that it expresses the anxiety that the baby will fall out. Such an anxiety might also arise from an aggressive wish, toward the baby, which would accord with the psychodynamics of the case so far. One cannot help but wonder, too, whether there is something more personal about the use of the heart sign here. If Gwen knew that her grandparents died of heart attacks (of her knowledge we

cannot yet be entirely certain) then for her the heart has been a personal death symbol. It should be stressed, lest we forget, that these drawings appeared to be a working through of her mourning for the "death" of her Christmas tree.

Another theme, and one which perhaps is particularly striking upon looking at the second drawing, which bears an unmistakeable resemblance to this referent, is that what is being symbolized is the vagina in which the pubic hair is represented by the scrawl marks. Given the castration anxiety that had been evident for many sessions, it would be logical that the source of her anxiety, sooner or later, announce itself. Perhaps it was a sign of progress that Gwen, who began therapy by drawing a large horse as phallus, was now able to represent the vagina itself, which must have had attached to it the affects of fear and anger. Another point should be made about this drawing: How similar it is to the drawing of the heart shaped symbolic vagina and womb that was made by the 4 1/2 year old child studied by Barchilon, even to the extent of being replete with scrawl marks apparently symbolic of pubic hair. (In fact, one cannot help but wonder why at 11 years of age, Gwen's drawings should appear so similar to those of a young child. Is this a product of Gwen's intelligence being below average or of something occurring in her history, which in some way stunted her development? Or were there other factors at work? To these questions, no answers were discovered.)

A third theme also appears, the heart as a breast symbol. The double crescents of the heart shape in the first drawing are placed on Hanna's chest and thus seem to represent breasts. However, these double crescents are missing from the second drawing. Instead, although the outline of the overall drawing, the triangle, remains unchanged, the double crescents have been transformed in the second drawing into the single crescent (with another crescent below it) of the ice cream in the cone. This transformation was a particularly striking confirmation of the heart-breast equation, the first symbolic equation that occurred to me as I observed the initial drawing; for not only is there a graphic resemblance between the breast-like drawings, but a resemblance in content. Ice cream is an obvious breast symbol, because of its association to milk, its breast-like appearance when scooped into a cone, and its oral connotations.

These drawings do not appear manifestly "rageful" but as a set of drawings they hide a great deal of rage on Gwen's part. For one, as we have noted, all of the drawings invoke magic, a sign of her wish to make restitution, to magically undo an aggressive wish. The magic is apparent in how things change into one another: Hanna into a boy, and the triangle of the figures into an ice cream cone; and how the ice cream magically defies gravity. (One wonders whether the upside down ice cream cone is also a magic phallic symbol (aside from its form as a triangle being

possibly phallic) -- for the phallus too magically appears to "defy gravity" or to "stay up" when it becomes erect.) One might hypothesize that Gwen's invocation of childlike magic, as well as her all encompassing denial, is a characterological defense against feeling her rage, and her sadness. Further, one might hypothesize that, at the point Gwen accepts the separateness of male and female, perhaps even draws separate figures instead of magically transforming one into the other, she will be able to articulate her anger -- anger for being deprived of a phallus. In other words, at that point, she will not need a "magic" defense against reality.

In addition, one can hypothesize from these heart related drawings, that the subject of our sessions <u>is</u> sex and pregnancy; birth and death. More specifically it does appear that Gwen, in announcing these issues, is announcing some fantasy that involves her father -- the one that occurs most obviously being a fantasy of becoming pregnant by him. Could Gwen's underlying thought be: "If my father cannot give me his very large penis, he can <u>at least</u> give me a baby." In other words, all the material in which there is concern about objects going through openings, and the size of the body that goes through, appears to incorporate the equation baby=phallus. Perhaps, then the Christmas present Gwen also was hoping for was, very simply, a baby. If this hypothesis is accurate, we would assume that as time went on in treatment and Gwen dispensed with the symbolism, the

hypothesis would be confirmed by the underlying issues becoming explicit.

The reader may wonder at this point whether I am "reading too much into" these drawings. After all, he might object, children are likely to use the heart shape as a readily available decorative motif without any symbolic meaning. Granted, and that <u>is</u> one hypthesis. But the principles of determination and unconscious symbolism, particularly within the context of therapy caution us to examine the most seemingly innocuous and culturally influenced events with great care. Here, we are already confronted by an opagueness in the data, on the one hand, and hints of great suppressed and repressed interest in sexuality, on the other; and such a <u>particular</u> context demands, even more so, establishment of dynamic hypotheses. The proof, of course, will be in the pudding.

4) Intermediate Sessions: Hypotheses Confirmed and Symbolism Reduced

After this session, the intense graphic symbolism was greatly reduced for a time, as if the session represented the announcement of the theme. For example, in the next session (session 7), the apparent underlying issues were talked about more openly: Gwen came in and almost immediately told me about a 19 year old boy and girl, who had a baby. She understood that this could happen even when two people were not married. The transferential implications of her sudden announcement appeared obvious.

When I asked questions to ascertain whether she understood sexual matters, she contended that they just had a baby; and began to profess obvious annoyance at me. She listed on the blackboard, numbers one through four, and a "What" after each number, with a blank space afterwards; and then, rather pointedly, she turned to me and said: "What do you want?" I could not help but think that she was unsure in her own mind if this was a sexual liaison that she was establishing with me, or I with her, and that the "What do you want?" expressed both a sexual wish and a fear about that possibility. Perhaps too, she was angry that I did not just accept her statement at face value, without probing.

In the next session, I decided to reiterate some points, as reassurance to her. I talked about what therapy was, and why I asked questions, but I avoided the transferential issues which (given her defense) appeared to me premature to discuss. "When I ask questions," I said, "I am trying to understand what you are trying to tell me, or whether anything is bothering you; that, after all, is one of the purposes of therapy." In apparent response to my intervention, Gwen drew a picture on the blackboard of a rectangle with a number of parallel lines forming a triangular-like shape within it. She said: "It's a window with curtains." I thought to myself, this is still another depiction of an apparent opening, and may represent two things: A response to my assurance that the purpose of therapy is to help her to talk about difficult things, as if

she were saying, and rather poignantly, "Yes, I am willing to open up to you," in the only way she is yet able to respond; or a sexualized motif, in which the window, which has a vaginal appearance as a consequence of the curtains, is a vagina, as if she were announcing that this is what is on her mind.

When I asked: "And what can you see through the window?" she responded: "A couch" but then said, hurriedly, "No, a Christmas tree," and drew a Christmas tree which appeared decidedly phallic (see Figure 41). Thus, we returned to the anxiety about the presence and absence of the phallus, which was articulated even by her saying, for a moment, that there was no Christmas tree seen through the window, and then changing her mind. Further, however, the reader probably cannot help but wonder how close to the surface is her sexual knowledge, when, in the context of this session, she suddenly said, "a couch," an object on which sexual liaisons are often conducted. As if to illustrate this point, Gwen next proceeded to play with a dollhouse, making a variety of different sleeping arrangements for her doll family (the "couch" too is a form of bed, I thought to myself). First, she put three doll children together sleeping, and provided no place for the mother or father dolls to sleep. Then she placed a little boy doll in a separate bed, which -- given her tendency to identify with the male child -- I took to be herself. Then she took the mother and father, and stood them up facing

each other, as if embracing. Lastly, she took two baby dolls, and had them grapple with each other, one on top of the other. (I thought of this as a substitution and a compromise. The parents embraced but they did not go to bed; in fact, there was conspicuously no place for them to sleep. Instead, two baby dolls performed the act that one might expect of the parents.) In the midst of all this, Gwen told me that -- since the last session -- she had asked her mother about birth. As she now understood it, God put an egg in the mother's womb for "about two months" and then the baby was born. But her words were at variance to her play. It is evident, on some level, that she did not believe what her mother had told her. It was as if she were saying: "If God put the egg there, then why are my parents grappling with each other."

Next, Gwen said to me: "Sometimes, people don't want babies and they have an operation to get rid of them." "You mean an abortion," I said. "Yes," she responded, "an abortion." Thus, we returned to the theme of life and death, but -- although I saw that Gwen was articulating an aggression against a baby -- I was not yet sure of the drift. However, it became clear in the next sentence: "When my sister was born," Gwen said, "my mother went to the hospital, and I stayed with my grandparents." It now became clear to me, that what we had been tapping, for a while now, had been Gwen's feelings when her sister (the baby doll) was born when Gwen was 4 years old; and her wish to destroy the

baby. The hypothesis that we were dealing with pregnancy and birth, as a concern of Gwen's, was thus confirmed. In fact, the historical events were now peeking out from behind the symbolism.

Very quickly, the theme of death became pervasive in the session. For the first time, as she turned to look at me, directly, with wide open eyes, Gwen said: "You know, my grandpa died." She then related how both her grandparents died from heart attacks, one week after each other, first her grandfather and then her grandmother. When her father came home in the midst of this tragedy, she and her sister had to go into their room, because their father was so upset. She said, however, that although initially upset, she was not <u>that</u> upset, and she got over it. And yet, one can observe, in the pervasiveness of the theme of death, that she was haunted by something in these events. Was it, perhaps, her fear of the power of her own anger, her death wishes, that frightened her? After all, she spoke of her grandparents' deaths right after she impliedly articulated death wishes (in her talk of abortion) toward her sister. Regardless, the theme can be viewed another way, as that of "appearance and disappearance" and the attendant anxiety concerning such separations: Her sister was born, that is appeared, just after her mother disappeared (and into a hospital, a place associated in a child's mind with illness). At that time, she had to stay with her grandparents, if only briefly. But then -- years later (but

what is time to the subconscious?) -- even her grandparents disappeared, and they did so permanently, that is, they died.

Affectually most striking about Gwen's revelations was her matter of factness concerning her grandparents' deaths My hypothesis was that Gwen had never successfully mourned her grandparents' deaths; and that this would be attributable to her anxiety that her death wishes have power. In this regard, remember that one of her presenting symptoms was her terrible fear of television murder movies. Further, it was noticeable that in general Gwen did not express aggression. Were she able to do so, perhaps she could carry through mourning, for mourning entails being able to acknowledge, at some level, aggression toward the loved object. In the place of mourning, there seemed to be an underlying anxiety, perhaps of the nature of: If my mother goes to the hospital again (she could get pregnant again) who will I stay with now? Will I be abandoned further?

Psychodynamically, Gwen's revelations in this session were the consequence of her expressing symbolically, a number of sessions previous, her anxiety concerning the "death" of the Christmas tree at home. For our purposes, what should be noted, is that in this session, the heart -- which had been employed symbolically in her drawing -- was for the first time spoken about, when she mentioned that both her grandparents died of <u>heart attack</u>. The heart,

which first appeared symbolically, as a symbol of the womb, the breast, and the vagina and which appeared at least manifestly more associated with "life" now is spoken of directly as an entity associated with death. Thus, the heart too has played a symbolic role in the process that led up to the revelations of this session.

D) Intermediate Sessions: Heart Symbolism Abates but Hypotheses Confirmed by Additional Information

In the next sessions, the heart did not appear during treatment, but Gwen made steady progress and revealed information that confirmed some of the hypotheses previously mentioned. She continued to elaborate on two themes: The sleeping arrangements at home, and her anxiety about death. It was unclear to me why these two themes should be juxtaposed. I was reminded of the boy doll which slept alone in the dollhouse in the previous session. Perhaps the underlying issue, that united the two themes, was separation anxiety. Gwen must separate from her parents, when they sleep together. She must separate from her father, when he is upset about the death of his parents. She must separate from her mother, when she goes to the hospital to give birth to her sister. She must separate from her grandparents who offered her security when her mother was in the hospital, and who now themselves "sleep" forever separately from her.

In one of these sessions, Gwen placed all the doll children in one bed. As she did so, we talked about the

fact that older children usually sleep separately and older boys do not sleep with older girls. "Why?" she asked. I explained how as they get older, sometimes they wished for privacy, and that boys tended to identify with boys, girls with girls. I told her, too, that sexual changes began to take place in older children, and there was a tendency, by adults, to discourage some sexual play. In apparent response, Gwen put a grandmother and grandfather doll together, and a mother and father doll together. She told me that the grandparents were watching her parents. I did not know what to make of this, although I wondered if there was some anxiety that her own parents would be taken away as her grandparents were; or that there was a thought that her grandparents, as ghosts, continued to observe her parents. Perhaps too, given that I have articulated a societal rule about sleeping together, the grandparents were making an implied criticism of her parents' sleeping arrangements, which still remained obscure. As I began to make inquiry, Gwen mentioned that her maternal grandfather lived in her home, in some upstairs rooms. This was new information. She began to talk about this man, saying she was not sure that she liked him: "He is sad, because his wife died a long time ago, and he never remarried. He says he's lonely and how can he say that -- when there are people in the house?" I comment on how he must have been very upset at his wife dying, and misses her. "People sometimes become deeply

depressed when a loved one dies," I said, thinking of the possible applicability of this to her father.

Discussing her grandfather, Gwen became very animated for reasons that were unclear. She told me that they share their dreams: She will tell hers, and he will tell his. Then she related that she had a dream the previous night. She dreamt:

THERE WAS A GATE, AND A MAN ON THE OTHER SIDE

This appeared to be another version of the same theme she had produced in a variety of ways previously: the initial dream she told about someone watching her, whom her mother scared away by opening the door; her drawing of a window; her fear of burglars and kidnappers. Over and over, there appeared to be an underlying question she was posing. Perhaps she was asking "Is it safe to let a man (that is a father figure) inside?" and felt confused about the two possible meanings, psychological and sexual, of her wish for closeness. Was her relationship with her grandfather, whether prompted by reality or fantasy, filled with similar anxiety about letting <u>him</u> in? Or did this grandfather, mourning for his wife for many years, take advantage of Gwen in an emotional sense by treating her as a wife-substitute, and sharing with her his dreams? I could not help wondering whether there was a pattern in this family in which the males, depressed over loss (as her father had been after his parents' death), imposed themselves upon their children unduly, as solace for their unhappiness.

All of these hypotheses were floating through my head, but not until the end of the session did I begin to sort them out. To add to my confusion, Gwen continued providing data. She began aggressively manipulating the heads of the rubber dolls, and showed me how some of the heads, on their soft necks, moved and some did not. I concluded after testing the flexibility of the dolls that the distinction was more in her mind than in reality, but I did not say anything. I wondered whether these necks were being used as representatives of a substitution upwards, that is: Did they represent the flexible phallus?. Next, Gwen suddenly started to use "sign language" with me, telling me that she knew how to communicate in this fashion. (I have no knowledge of sign language, so I could not evaluate her effort.) All I could think of commenting after it was clear she was not going to explain the reason for the sudden change (although it did occur to me that she was telling me that something physical happened between her and her grandfather) was: "Perhaps you feel I do not understand what you are saying in words, so that you want to tell me in another way." (I had other thoughts, too, particularly that this might be important in some way I did not understand, for when a girl who stutters begins to manipulate dolls' necks and then resorts to sign language, it may indicate that the material she wishes to communicate is too loaded for her to be able to speak, or she is afraid to.) Apparently in response to my interpretation, she opened and

closed a toy door in the doll house. Again, I thought, the same theme of opening and closing. By this time, I was fairly convinced, that although I did not understand everything she was implying, she was asking me: "Can I trust you with a secret? Can I let you in?" Keeping to the manifest content, I simply remarked, "You can open or close the door, whichever you want to do," as a means of assuring her that she was in control of the process of increasing confidence.

My feeling that this session was important for Gwen in her assessment of whether or not I could be trusted, appeared borne out by developments in the next session. Again, she created different doll sleeping arrangements in the doll house, and at one point placed one chair on top of another, which I thought of as suggestive of people on top of each other. She volunteered that the other day, three cousins (two females and one male) came to visit her house; her father and the boy slept with each other; and her mother and the girls slept together. This then was the incident that led to her questioning me about why older boys and older girls slept separately. But why was it such an issue? As if in response to my unstated question, she next told me: "Sometimes, my sister goes to sleep with daddy" (!). Of course, this was crucial information.

But Gwen was hesitant to say anymore, other than to mention that sometimes her mother slept with her. I asked her how she felt about her father sleeping with her sister

-- did she ever become jealous? "No," she responded, but then (and I could only think how denial was such a strong defense for this child) her next statement belied her words. She said: "You know, last night I had a murder dream." "Oh, what was it?" She recounted:

> TWO MEN CAME INTO OUR HOUSE AND THEY SAID THEY WERE GOING TO SHOOT DADDY. AND THEY GOT ALL OF US TOGETHER AND SHOT MOMMY IN HER ARM. THEN I WAS HOLDING DADDY'S THROAT TO PROTECT HIM, BUT THEY SHOT PASSED MY HAND AND SHOT HIM IN THE THROAT.

If confiding this dream represented a response to my question, she was furious with her father. I mentioned to her that it was a coincidence that in the previous session, she played with the neck of dolls and in her dream she protected her daddy's neck. (Was her reticence concerning the sleeping arrangements at home because she wished "to save her daddy's neck"?) She did not respond verbally; instead she played with the dolls again, twisting their necks. On a hunch, I suggested that perhaps only the male dolls had necks that moved, my unstated hypothesis being that the neck represented the phallus both in her play and dream. I was hoping that she would understand my message directed toward her subconscious. In other words, I made no attempt to remove the disguise and reveal the symbolic referent, for I did not think she could accept that, but I acknowledged the underlying message of play with the dolls' necks: "Only males have penises." As if to confirm my

interpretation, at least indirectely, she began to talk about the burglary that occurred in her house. At the time of the burglary, her maternal grandfather knocked on the front door, and the burglars went through the back window. "My grandfather could have been shot by them," she said. "He could have been in a pool of water on the floor?" "Pool of water?" "I mean," she said, "Pool of blood."

Now this slip must have been a determined one. Water was most likely a compromise and a substitute for the underlying thought, which crept in, which was: "He might have bled from castration." The water probably represented urine, a frequent symbolic equation. (We even use it euphemistically, by saying such things as "Did he make water?") In other words, Gwen subconsciously equated death from shooting with castration, but repressed the thought. The thought nonetheless surfaced in symbolic and compromised form despite the repression. Incidentally, here was an interesting example of how the ego could tolerate the thought of death, but not of its symbolic referent, castration.

Regardless it was clear that the dream of her father being shot took as one of its residues the burglary in which her grandfather just missed encountering the burglars. It is as if she said in the dream "I wish it were my father rather than my grandfather who discovered the burglars; then he could have been the one to get shot!" (Whereas I have addressed the symbolic meaning of the father being shot in

the neck, the reader may legitimately wonder why the mother got shot in the arm? All that occured to me was that this permitted Gwen to protect her father in the dream, because her mother would not be able to lift a protective hand to his neck. Of course, the wish to protect her father in a dream in which she has subconsciously orchestrated aggression against him is evidence of her ambivalence toward him. In addition, it was possible that there was another wish, in which the shot in the mother's arm represented an injection from a doctor just as Gwen had once apparently played at being protected herself by getting an injection. Perhaps subconsciously she wanted her mother to be protected from the effects of her anger and arrived at this compromise formation.)

The reader also may have noticed that the issue of doors and windows had surfaced once again in Gwen's discussion of the burglary. The reason for this was revealed by Gwen toward the end of the session. She told me that the door to her parent's bedroom was always opened at night, because her father had removed it and not yet replaced it. I wondered to her whether she ever heard "scary" sounds coming from her mother and father at night, but she said that she had not. Her denial aside, was it possible that the sounds of intercourse or sexual play from the bedroom had conjured in her mind thoughts of violence and burglary?

The content of these sessions was important because Gwen indirectly articulated the extent of her ambivalent feelings toward her parents, particularly her father. Her aggression in the shooting, which incidentally employed the gun as an aggressive phallic symbol, was not portrayed in the manifest content of the dream as Gwen's. But from the point of view of psychoanalytic theory the aggression did belongs to her. Translated, the dream meant, at least the part of it that I understood: "I would like to strangle and shoot my father, to have an effective penis and to castrate his; but I am ambivalent -- I want, too, to protect him from my death wishes."

There is no manifest heart imagery in these sessions, but one cannot fail to note an underlying anxiety related to heart imagery. In Gwen's dream, her parents were attacked, <u>one right after the other</u>. It is almost as if Gwen is expressing the anxiety: "My grandparent's died of heart attacks, <u>one right after the other</u>. Will the same thing happen to my parents? Is my anger so powerful?" Assuming this hypothesis to be accurate, and we still have insufficient information to substantiate, from the point of view of heart symbolism, the castrative attack on the father here, in which neck equals phallus, would be equated with the the <u>heart</u> attack of the grandparents.

E) Graphic Heart Symbolism Returns: Another Look at the Motifs, with More Obvious Oral Aggression

In the next session (session 12) Gwen made a blackboard drawing very similar to her previous heart drawing (see Figure 42). One would hope -- given how much psychodynamic material appeared to have been processed since the last appearance of the heart graphically -- that this drawing would reveal some alteration in the use of the symbolism. Indeed, this was the case. The figure she drew was immediately notable for having a disproportionately large mouth, with smiling teeth. When I remarked on this, by saying: "What a large mouth that person has," she responded, "It's a man." The dynamics behind this response appeared to be that for Gwen a man is distinguished as the dangerous oral aggressor, the one with the large mouth and teeth. Perhaps then, her grabbing the throat of her father in the dream was the consequence not only of a manifest wish to protect him, but of a hidden wish to strangle him before he consumed something! Psychodynamically, the "something" would likely be the penis; that is, the underlying fantasy would be that a man consumes a woman's penis, which is why hers is missing. The drawing of the man also had a flower inside the heart shape, which probably symbolized the consumed phallus.

I did not mention any of these hypotheses to Gwen. Instead, keeping close to the manifest material, I commented that her drawing looked very much like the one she did previously, that began as a drawing of her friend Hanna. She nodded in agreement, looking at me with her wideeyed look,

evidently impressed that I remembered. Then she said, no doubt referring to the previous drawing in which she fashioned a magical sexual tranformation, "I'm going to make this into a drawing of a woman." Thus, the first time she used the heart shape, the shape was associated with a female figure, and symbolized breast, vagina and womb; then she added a symbolic penis to the drawing (the leg) to change it into a man. Now she reversed the process beginning with a man, and changing him magically into a woman. I reflected that she had to metaphorically castrate this heart shaped oral aggressive male figure to effect such a magical transformation. Indeed, the heart has proved a bisexual symbol here, just as in the case of Fenichel's patient discussed in Chapter One.

I decided at this point to make a direct intervention sensing that she was prepared for one. Thus, I asked her how we could tell whether someone was a man or a woman. A discussion ensused in which she was notably subdued, as she chalked in white all around the figure to indicate long hair. At first, she suggested that boys and girls look differently, because they dress differently and have different length hair. I agreed, but I continued to prompt her. Finally, because she evidently could not articulate what she knew, I mentioned that men and women have different genitals, the penis and the vagina, and that women have breasts. "I know that," she protested, still industriously chalking away on the hair of her blackboard figure. I also

mentioned that a woman can become pregnant and have babies, and a man cannot. She said, more spontaneously now, "That's funny, that a boy cannot have babies." We talk about the strangeness of sexual differences. Because of her repeated emphasis on "magical" qualities during the therapy, and our present discussion, I mentioned to her another "strange" sexual characteristic, which I am sure she knows about, that "the penis can grow bigger and smaller." "How do <u>you</u> know that," she asked, as if impressed at my knowledge of a secret. This I took as a request, in part, to know whether I have a penis, and to acknowledge a difference between us. I said that it was because I am a man. She looked meaningfully at my crotch for a moment.

I mentioned to her -- perhaps in part provoked by my own anxiety at her meaningful glance, but also because I wished to reassure her -- that it was important to be able to talk about these things, and to have some place that one <u>could</u> talk about them. She finished her blackboard drawing, which now had become a girl with a luxuriant head of hair. Dynamically, I thought of this luxuriant, and long, hair as a substitute -- in its length -- for the missing phallus. She said that now she would draw a boy next to the girl. But, despite her verbal statement, she drew instead two of those small, "hairy appearing" trees! Here, I think, we have fairly clear evidence of these trees as phallic symbols, given her verbal introduction and the discussion we have just had; and we have some confirmation that the long

hair of her drawing is, in its length, a substitute for the phallus. Perhaps these associations were too clear for her as well, for suddenly she announced that drawing was over, cleaned the blackboard with a wet sponge, washed and dried her hands carefully, and began to play with the dolls and doll house.

She created a family of a man, a woman, a boy and a girl. The mother doll was pregnant, and then for the first time Gwen explained to me that her aunt was pregnant. (It is interesting to note how this girl, so unable to communicate information directly, dropped pieces of "reality" into her play once the fantasies had been more fully articulated, as if to say, "Here now is the referent to which I have been alluding all the time.") We talked about this pregnancy, and after we finished, she changed the doll house into a police station. I assumed that this must be a consequence of the awareness of an aggressive thought on her part, which entered her consciousness -- perhaps directed toward the aunt's fetus -- and which her superego now sought to punish and control. I asked her the reason for the change. It was, she said, "to protect the house from burglars." I took this as a confirmation of my hypothesis, for she had projected her aggression to persons outside and to the incident of the burglary. I mentioned to her, keeping to her manifest content, how upset she was by the burglars who entered her house before, and wondered whether she was still upset. With lawyerlike denial --

there is that defense again! -- she assured me that she was not upset because "You see, it is not certain that the burglars will come back." (Often when I heard these defenses, I found myself thinking that I was hearing a statement by a parental figure played back to me. Specifically, I fantasied that the denials I kept on hearing must, in part, be coming from Gwen's mother. If it were not for the overly repressive history, and the symptoms of this child, such defenses might be entirely in the service of ego strength.) I decided to risk a deeper interpretation, in the hope that I might shake her resistance by reaching to the material that seemed to me <u>just</u> beneath the surface and which had been there for so long. I said: "You know, speaking of burglary, did you know that sometimes girls think that someone stole their penises, which they once had. That's not true, of course, because girls <u>always</u> were different than boys -- even at birth. Sometimes, though, that is hard for a girl to accept, when she sees that a boy has a penis, and she does not. She thinks, quite naturally, that someone stole hers. Of course, we know that's not true."

Gwen said nothing at first. Then she returned to her aunt's pregnancy, and I worried that she was telling me I was completely off track and should have concentrated on her aggression toward the fetus. As we talked about the pregnancy, I asked her how her aunt became pregnant. She told me a story about how a "seed" developed in her womb;

and then, to my utter surprise, she produced a vivid, and very accurate, description of an actual birth. It developed that she had seen a film of a birth, at school. As she described it, in graphic detail including the blood, she played with a doctor, nurse, and mother doll. Out of the mother doll, emerged a baby boy doll. She repeated this, but expressed concern about whether the boy doll would "fit up there." Here, I thought, was the referent for her repeated concern about things "getting stuck": It was the baby (really the phallus-baby) of which she had been speaking all the time. To keep the boy doll inside the mother, she attempted to use tissue paper. This must have been the consequence of an association to sanitary napkin (which may in turn have been the result of thinking of the bloody vagina as a castrated penis) and to toilet paper (which would be the result of the equation baby=feces.) I could not help but think that Gwen was "letting go" in other ways, that is that the repressed affect, the bound up aggression, was beginning to emerge simultaneously with these referents. I thought this because she appeared to be talking so much more spontaneously now.

She told me that her mother was in the hospital for a few days when her sister was born and she had to stay with her grandparents. When I asked her whether she had been angry about this, she responded: "Yes, I was angry at my mother for leaving me." Further, she expressed how angry she was when sometimes, in the middle of the night, she had

to get up to feed her sister. I found this confusing, for I could not imagine Gwen at four getting up to feed her baby sister, but whatever the circumstances, it was clear that she was expressing her anger at the attention that her sister received. I said explicitly, "It sounds as if you got angry at your sister too." Without hesitation, she said: "Yes." However small these expressions of affect may appear to us, for this girl -- who had been all but mute in expressing such affect and who had employed such all-encompassing denial -- to permit herself to express anger toward a loved one, represented a major accomplishment.

What was interesting was that only upon the seemingly correct psychodynamic and symbolic interpretation (I now think of my deep interpretation concerning castration as justified, because of the sudden outpouring of affect and information), can the affect become reunited with the repressed content. Put differently, only upon the correct and timely interpretation of the referents, can the affect attaching to them become reunited with them. Clearly, in these sessions, there was a great deal of symbolism, of which the heart symbolism is only one element. My concern has been to show within that texture of symbolism, how the heart, functions as vagina, womb, breast and phallus. It should be noted that no symbol, with this child patient (with the exception of the horse and rider initially) was specifically implied to be a symbol. Interpretations were

made without saying that "it seems as if X is a symbol of Y." The rationale for this was partly in the nature of the patient, who did not yet appear able to give up an entire fantasy defense; and partly, I think, in the nature of child treatment, where the child is still developing sublimation as a useful defense. One is appropriately wary of interfering with a process not yet established; and further, less likely to succeed with psychoanalytic psychotherapy that requires too much self-consciousness and distance for the child. Finally, I note that Gwen's talking explicitly about blood, which is often associated with aggression, seemed important to this last session. Although the heart did not appear, one wonders whether one of its primary characteristics as a symbol, namely blood, was implied.

F) Consolidation of Gains: The Traumatic Events Revealed In Part and The Patient Able to Acknowledge Male and Female as Separate Entitites.

It would be somewhat unfair both for the full development of the thesis presented in Gwen's case, and to the curiousity of the reader, if I did not tell the outcome of this case, in as much as I was able to observe it. In the sessions which followed, progress seemed swifter in that historical events were more readily described. I do not mean to contend that resistance was eliminated; but it did appear that I had become a more trustworthy object for Gwen, toward whom she felt safer in disclosing her thoughts and her emotions. For example, in the next session, Gwen

discussed with me the details of the sleeping arrangements at her home. Apparently, her father slept with her 7 year old sister; her mother slept with her. She said this cautiously; but three sessions later, she marched in, impatient to tell me something: "You know," she confided, as we returned to a discussion of the sleeping arrangements," There's something not right about my sister sleeping with my father." And then she added, "You never know where people will be at night in the house." (Or what they might be doing, I thought, without saying it.)

In the following session, she began by telling me excitedly about the birth of her aunt's baby, and how she went to the hospital -- and saw there another baby that "looked just like my sister when she was born." She also told me how before her sister arrived, she slept with her parents; but when her sister was brought home, she had to move from her parents' bed because her sister woke her up when she cried. Evidently, she was quite angry about this. Apparently, too, for a while she slept with her father, but from her description this remained unclear.

Her ability to speak about historical traumatic events coincided with dramatic conceptual gains, based on her acceptance of sexual differences. The next session, in particular, represented a striking (and for the therapist gratifying) consolidation of her gains, as shown in a graphic demonstration. She drew pictures of a boy and girl separately! She put a great deal of thick sensual hair on

the girl, explaining to me that "her ears are covered by her hair" (still, the remnant of her wish for a secretly concealed phallus, that is ear=phallus); and pointed out to me how the boy has ears "you can see." The girl had full lips and lipstick -- a new sign of sensuality -- and a choker on her neck. Toward the end of this session, she returned to the blackboard, and drew four figures, a woman and a girl, next to each other; a man and a boy, next to each other! The male figures were now physically different than the female figures. They had longer necks, larger legs, and more circular arms. The female figures had more obvious and more sensuous hair. These clear sexual differences represented her acceptance of her sexual difference from her father, and her similarity to her mother; that is, castration anxiety had been dramatically reduced, magic no longer needed to be invoked in relating male to female; and physical differences could be acknowledged. Interestingly, Gwen also put a choker on the drawing of her woman figure, but pointed out to me that the choker is somewhat different than the girl's, a comparison of two stylized shapes: and . This confirmed my hypothesis that the choker was a sexual symbol -- perhaps representative of the clitoris -- and that Gwen was trying to show that, although she <u>is</u> like her mother there remained some sexual differences, differences now due to age. (In addition, the reader cannot fail but note that "choker" refers back to her dream of grabbing her father's

neck; it is the remnant of her aggressive desire to castrate her father, and her fear of self-punishment and of her own castration. One cannot help but wonder how all this related to her symptom of stuttering and to her "choking" on her aggression.) Her greater openness, and the difference in the chokers noted by her, offered a new direction of exploration, and I used the opportunity to pursue it. I commented -- inspired by the motif of scrawls throughout the whole series of drawings as evident symbols of pubic hair -- that the woman in the drawing had a lot of hair on her, much more than the girl. I wondered too whether this was true of unseen parts of her body, such as pubic hair around her vagina. She agreed, and volunteered to me that she was now getter hair around her vagina. Significantly, and I take this as a consequence of her ability to begin to talk freely about this anally associated material, Gwen -- so fastidious for most of her sessions -- let herself a little dirty with chalk for the first time during this session.

It was not until three months later that Gwen let me know how big a risk she felt she took in confiding in me. She said: "I have never talked to anybody else about where we sleep at night." "Oh, why not?" "I'm not supposed to." I asked her why, and she responded. "My parents don't want me to." "Oh, did they tell you that?" "My mother told me not to tell my friends about the way we sleep when my friends visit."

Commentary:

I have given here, in an extended form, a series of sessions in which heart symbolism was only part of a process. I have done so in such an extended fashion because it seemed to me very difficult to convey the power of symbolism without putting it into context. The heart here had many meanings; but the most powerful quality was as a symbol of life and death. Gwen's grandparents had died from heart attacks; she herself depicted the heart as the womb -- the place in which the seed was deposited to grow the baby. One of her primary fears had to do with appearance and disappearance, people being present and then absent, alive and then dead; or also the reverse, not present, not born, and then present. As this girl attempted to resolve her confusion and anxiety, about sexual differences, the heart and the triangle were also employed as sexual symbols, representing phallus and vagina. Her confusion was born of the apparent confusion of roles in the family, and the strange amalgam of what was permitted and not permitted in this family. On the one hand, this family did not permit talk about sexuality; on the other hand, their actions were highly ambiguous concerning sexuality. Apparently, Gwen wondered what it was that her father and young sister did in bed; and fantasied that her father would get her sister pregnant. Similarly, she was highly confused transferentially, about the purpose of our encounter, and she fantasied that I was to play the role of her father or husband to her. The common theme though seemed to be that

she found herself or her sister occupying a role with male figures that troubled her; and it seemed as if her father dealt with his depression by an overinvestment in his girl children. Similarly, this same pattern existed with the maternal grandfather, whose interaction with his granddaughter was never fully explained, but whose depression after the death of his wife seemed to result in a psychological burden and intimacy between his grandchild and himself which made her feel uncomfortable on the one hand, and fascinated on the other.

The rationale of presenting heart symbolism in this manner is to attempt to show the complexity of symbolic studies. It is also intended to show that a therapist must "run with a symbolic hypothesis." That hypothesis may be ultimately revised or discarded; indeed, in this account, as hinted at one point, heart=fetus symbolism might have been more profitably been emphasized over heart=phallus symbolism. Regardless, the fulfillment of a hypothesis is for the therapist in the <u>continual</u> development of the dynamics and increased information conveyed by the patient.

Part of this, it appears to me, is that the patient employs symbolism differently over time during therapeutic change, or the symbolic imagery intrinsically express the change. One can see this dramatically in this case in the gradual development of Gwen's ability to depict male and female figures separately from each other, without confused sexuality: This strikes me as a cognitive sign of great

emotional progress. The plastic development of imagery over many sessions seems to me to reflect the personality's attempt to resolve intrapsychic problems.

One might naturally wonder about what happened in this case. Gwen began to exhibit marked improvement in her general demeanor, the reason for which her parents could not understand (being unable to comprehend the process of therapy) but which they noted with happiness. The nightmares ceased; she became much more assertive at home to the delight of her father; and her stuttering apparently decreased. However, as time went on, it became apparent to the therapist that it would be necessary to impart to this patient sexual information. About this, her parents were most reluctant; nor were they ever able to be open with me about the sleeping arrangements at home. I was never able to get a satisfactorily clear picture of what those sleeping arrangements were.

It became acutely apparent that the patient's test anxiety at school had its roots in the fact that her sexual curiosity was frustrated at home at the same time as she was overexposed to sexual stimuli. For her, school -- where she experienced some real difficulties -- represented a meaningless exercise of authority over her. She often had no idea what was going on. Later on, she continually put me in the role of a student, and she was the teacher; and I would be subject to as arbitrary an experience as she apparently felt in her classroom. Once, in a moment of

confidence, she finally was able to turn to me and say, while we were in the midst of this play: "I hate school"(!) And yet her ambition was to be a school teacher -- not a teacher who would undo the arbitrary power which she experienced as a student, but one who now had the power to invoke such power and rule over the students. In other words, she sided with the aggressor. Part of her difficulty at school was the product of a learning disability, for which she was also getting help at the clinic, and which she attempted to hide in class; but the other part was that her sexual curiosity had been ignited but simultaneously blocked.

The parents were not prepared to change. With more experience, and more time, I might conceivably have been able to reach them, but it was definitely -- as might be imagined -- a delicate matter. After a year of treatment, they used the opportunity so often presented when a therapist must leave to remove Gwen from continued psychotherapy at the clinic with a new therapist. Their given reasons were financial, which was a distinct possibility, but the opagueness of their motivation made it difficult to assess the reality. The did choose to continue Gwen in learning disability treatment, an unenviable choice to have to make if the reasons were financial, but certainly the less threatening one to them.

Whether by chance or design, their reluctance to continue with Gwen's treatment, coincided with the decision

in treatment to inform Gwen explicitly about sexual intercourse (which the parents said they would do but then had continually balked). The decision was based on the fact that it had become apparent that I was becoming identified with an arbitrary teacher; for I would not impart to Gwen the very information she needed to explain fully what was frequently a subject of conversation. Therapy had become enmeshed on this point; and the issue was even more timely (but also more threatening to the parents) as Gwen was beginning to show the development of secondary sexual characteristics, such as budding breasts. Thus, one of the tragedies of her not continuing with treatment was the possibility that she saw the discontinuance as a punishment for finally learning true information. Put differently, the danger was that her fantasy would become that she was being punished for being sexually curious, or being sexually interested in someone else.

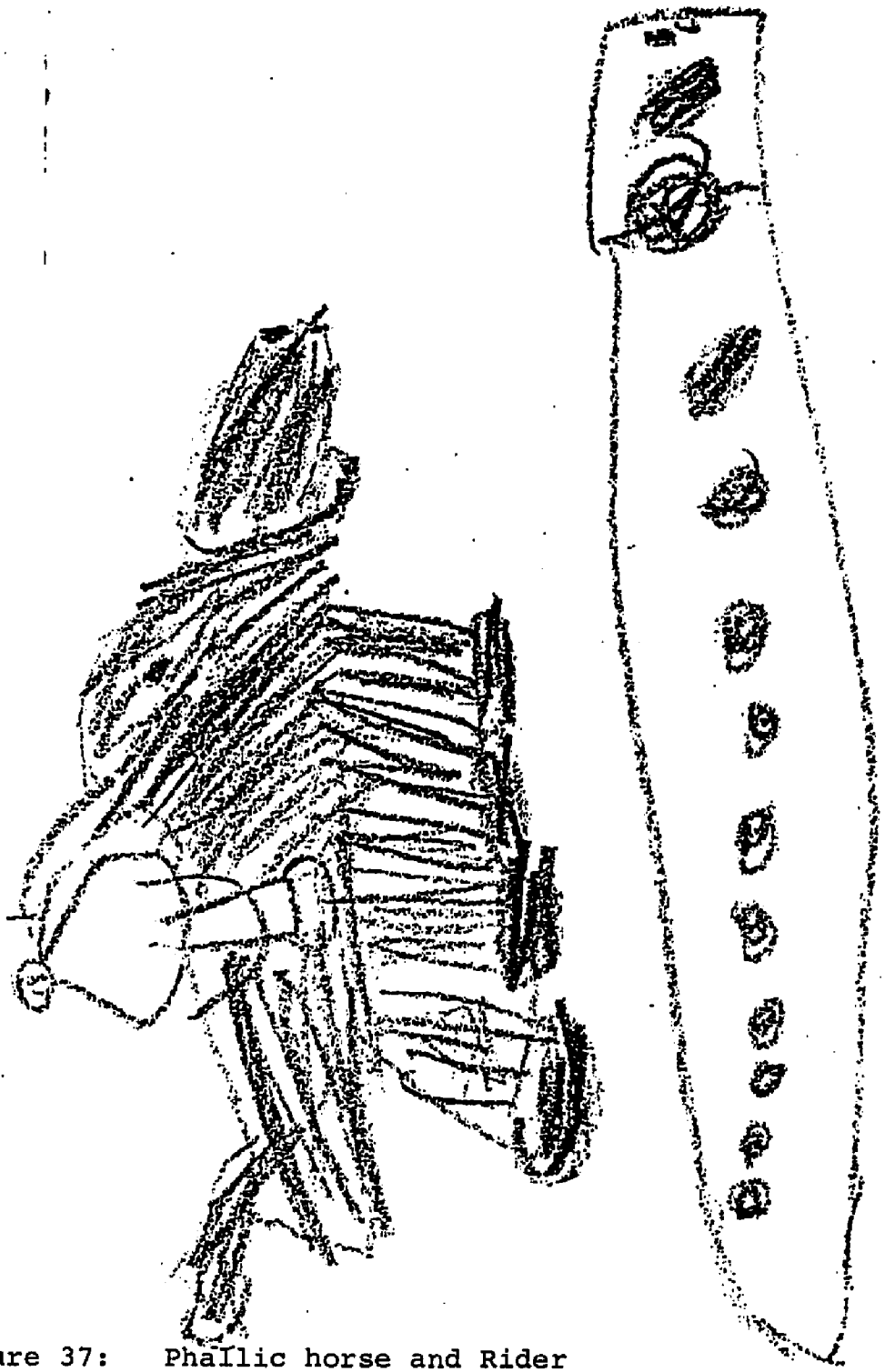


Figure 37: Phallic horse and Rider
Gwen crayon drawing, brown, black and red.
December 27, 1980. Session 3

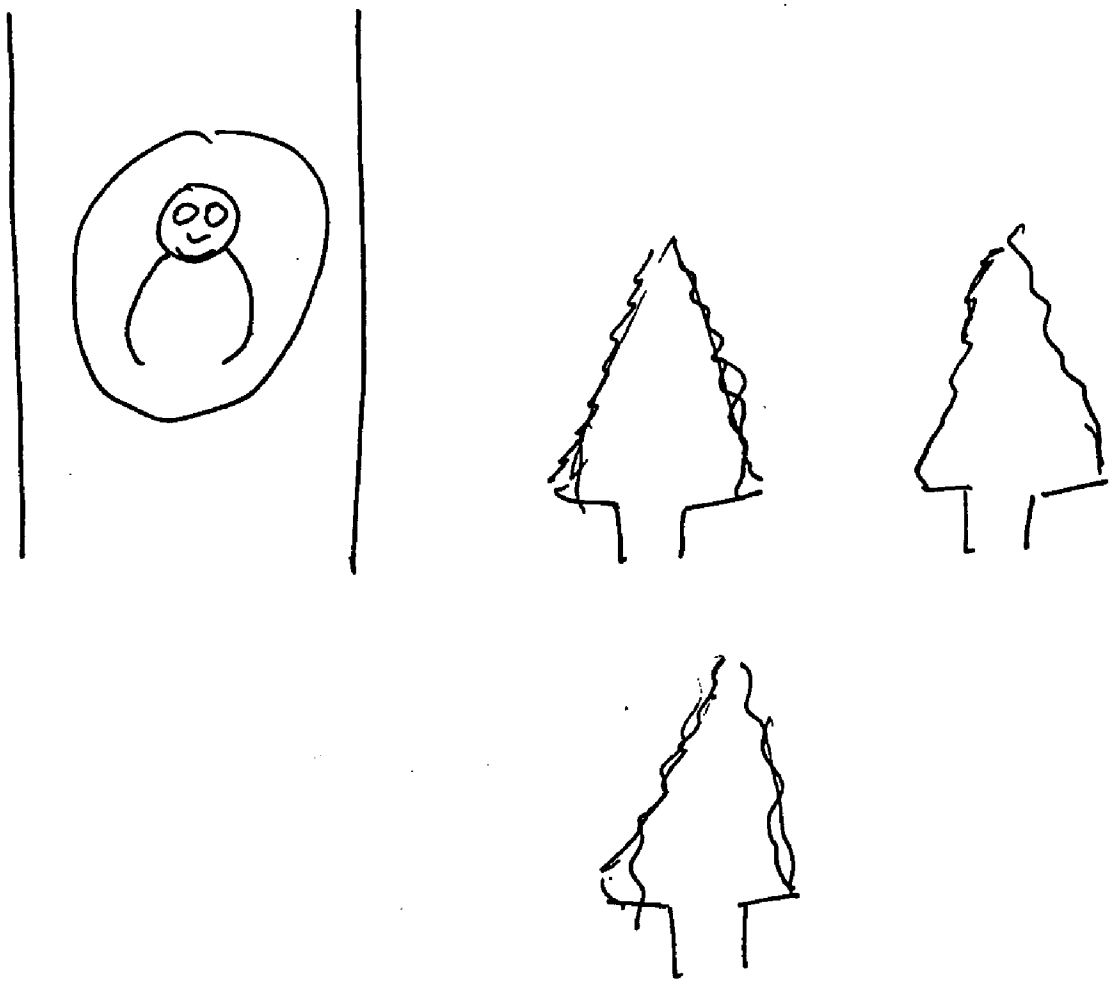


Figure 38: Trees and squirrel
Gwen blackboard drawing
January 10, 1981. Session 5

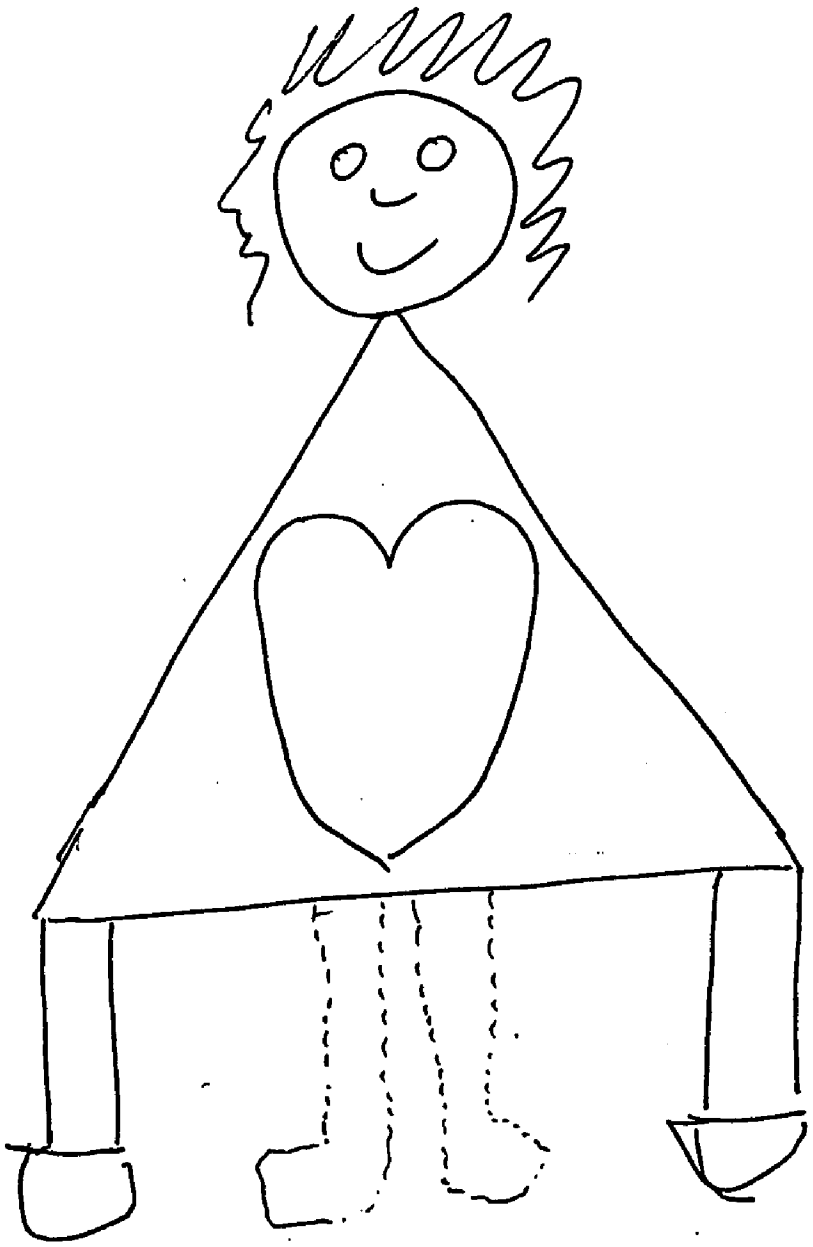


Figure 39: Heart shaped girl.
Gwen blackboard drawing.
January 10, 1981. Session 5

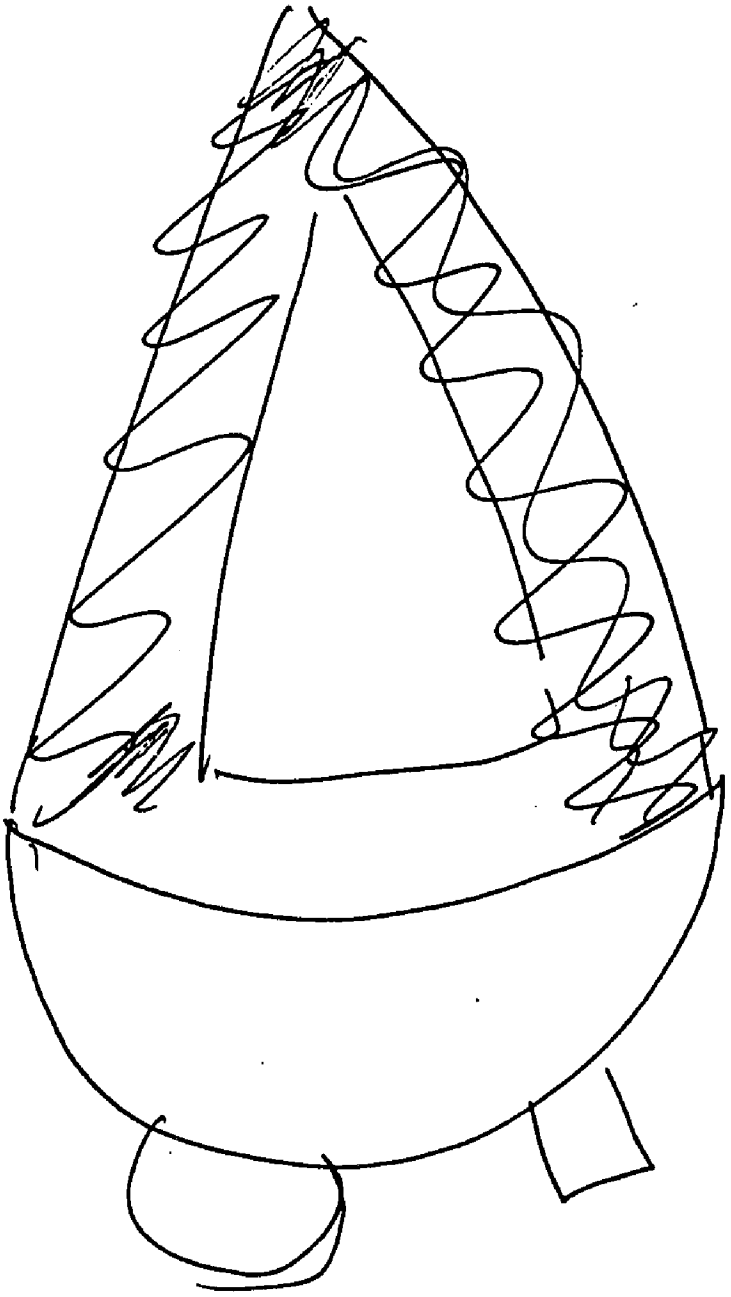


Figure 40: Upside down ice cream cone.
Gwen blackboard drawing.
January 10, 1981. Session 5

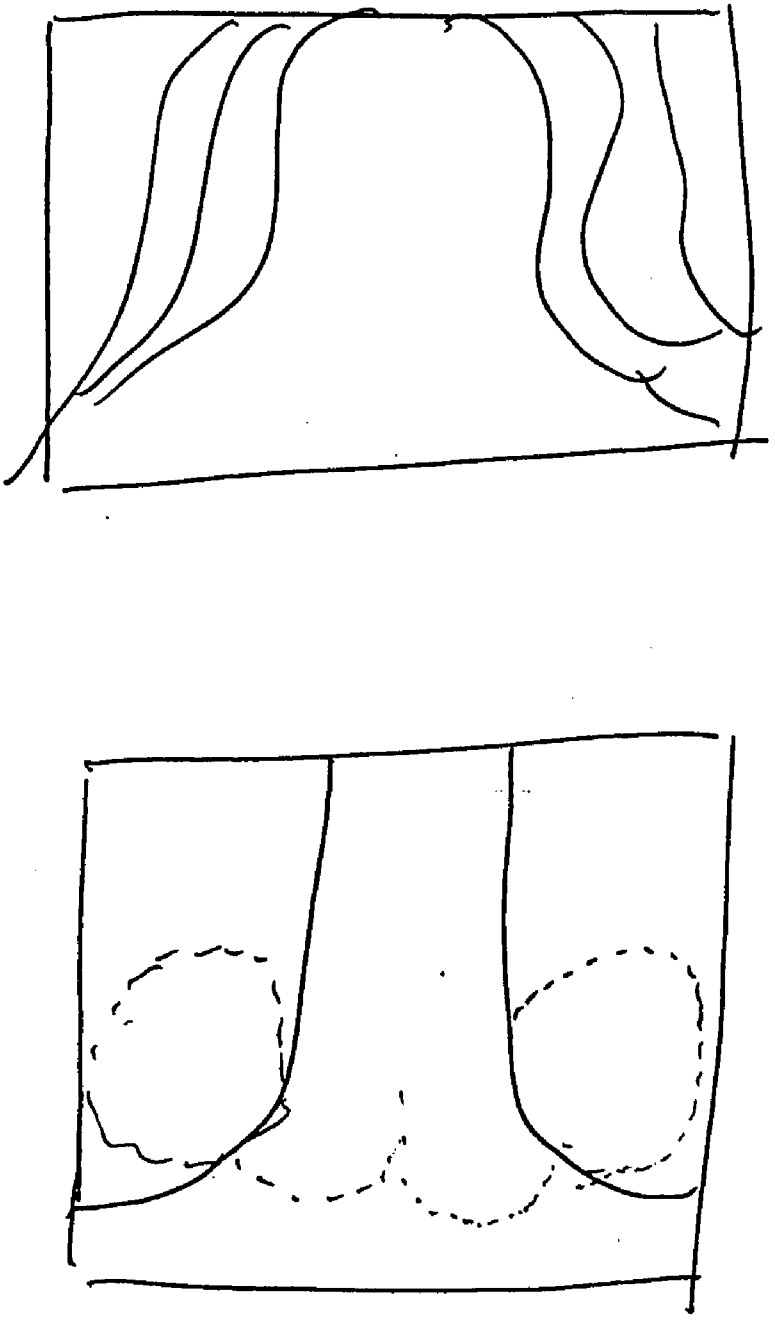


Figure 41: Two scenes through window: curtains, tree inside house. Gwen blackboard drawing. January 31, 1981. Session 8

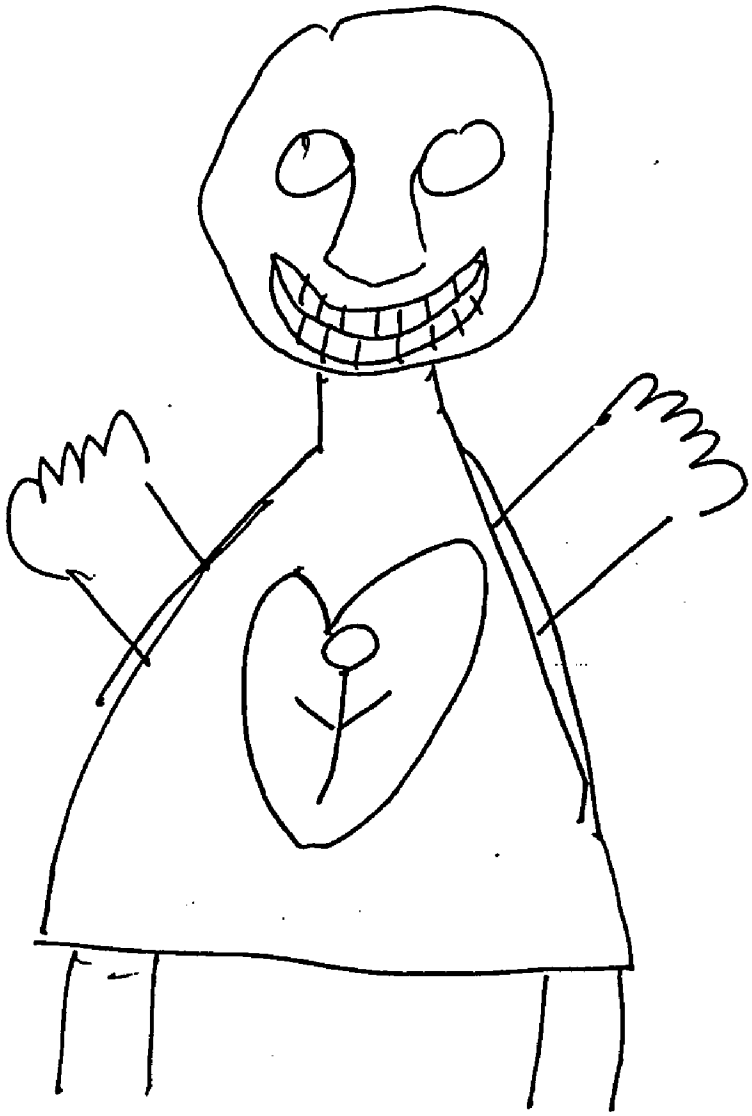


Figure 42: Heart shaped man.
Gwen blackboard drawing.
March 7, 1981. Session 12

Footnote

(1) Kallir (1961 suggests that the letter "B" takes its physical appearance in part from the hieroglyphic which represented the "B" sound to the ancient Egyptians, namely two breasts in one of two configurations: either or  . He further points out that the Egyptian words for breast were "Baut, Bagt, and Bentric" all beginning with the "B" symbol; and that the "B" sound and the "M" sound (indicated by another double crescent shape with a similar derivation) are some of the first consonant sounds expressed by an infant, and are associated with infant and breast in words in our language from mama to mumbling and from baby to babbling.

CHAPTER SEVEN: NEW DATA FROM PSYCHOTHERAPY CASES

I have attempted in the previous chapter to show how symbolism may be understood and used in psychotherapy. In these case studies, numerous symbolic equations -- heart=breast, heart=penis, heart=glans penis, heart=vagina and heart=womb ostensibly appeared and were used by the therapist to understand the case, and to direct his interpretations. In addition, patients showed behavioral changes during treatment apparently as a consequence of the direction taken in therapy based in part on heart symbolism.

In this chapter, I hope to indicate what new about heart symbolism appeared to me as a result of these therapeutic experiences. As previously articulated, one of the characteristics of the heart was that it suffered palpitations as a consequence of the fight-flight reaction, that is in particular when desire contended with superego prohibition. The first thing that appeared striking to me in acting as therapist in these cases was that there appeared to be a common pattern in which the patients reacted with palpitations in situations they considered "testing" situations, whether the patients were Robert, whose presenting complaint was "test anxiety," and whose daily life appeared fraught with tests involving incestuous and murderous wishes; or Gwen, who was terrified of school,

exhibited panic reactions at test taking time, and also found herself immersed in a situation in which there appeared to be subtle and virtually incomprehensible rules about what was appropriate behavior and what was appropriate to admit knowing. That is, Gwen felt tense because she was daily tested, a feeling she managed to communicate very well to the therapist, who constantly wondered whether his own interpretations of her behavior reflected on his own social appropriateness. Or whether the patient was Victor, whose traumatic bathroom scene with his father had the character of a test, in which he had to urinate while his father, who had just been beating him, observed his performance. In all of these cases, there also seemed to be overriding tests of social rules, in which the individual wished to violate societally proscribed rules, such as incest, or murder of loved family members.

In addition, on a deeper level, the sense of panic about testing situations in all of these cases appeared to reflect castration anxiety. Why some individuals should react to castration anxiety by the formation of heart symbolic equations, and others not do so, remains unclear; but what does seem clear is that palpitations or tachycardia in situations of fear of castration sometimes yield a heart=penis equation. The dynamics suggested in the case of the 7 year old child, Anton, discussed by J. W. Hall (1947), in which Anton experienced palpitations as a consequence of violating a sexual prohibition of his father's and also

experienced severe castration anxiety, seem to apply here as well.

In Freudian terms, what appears to have taken place in these cases is the displacement of affect onto the source of the physical sensations of palpitations, and the heart becoming invested with exaggerated meaning, when extreme ambivalence arises concerning the wish to violate a superego prohibition. One of the more obvious prohibitions is the incest taboo, and prohibitions associated with Oedipal dynamics in general; in fact, all of the case examples could be articulated in part in this fashion. Regardless, these cases can be viewed as examples of the heart being used symbolically in a defensive fashion to disguise the sexual referents.

Somewhat unexpectedly, one of the consequences of this study has been to suggest that the heart symbology presented represents the manifestation of what appear to be "archetypes" in the Jungian sense: certain patterns, or stories, in which the heart seems to appear as a symbol. There are two in particular that seem striking to me, the first one more obvious than the second because it is an extension of the discussion of castration anxiety above. I used the term "unexpectedly" because, although the concept of archetype was included within my tentative definition of a symbol, there was no particular expectation on my part that an archetype concerning the heart would manifest itself in these data. The patterns by which I am most impressed

are one that focuses upon the heart as penis and sun, and another which focuses upon the heart as seed or small stone. Both of them place the heart into a resurrective motif. I will treat them here separately. However as will become apparent, the heart as archetype is not mutually exclusive with the heart as a defensively functioning symbol.

Heart as penis and sun

In Jungian terms, the dynamics just described concerning the heart as a sexual symbol seem to yield an often similar story with a similar aggregate of symbology. To illustrate my point, let me cite a 17th century play by the playwright John Ford entitled 'Tis Pity She's a Whore (Ford, 1966). (Curiously, no less a psychological personage than the outspoken early 20th century sexual authority Havelock Ellis was an editor of Ford's works.) The play concerns the willing and defiant incest between a brother and a sister, Giovanni and Annabella; her pregnancy; and her brother's subsequent murder of her to prevent her becoming married to a respectable (if not entirely pleasant) man named Soranzo. It is not until the climactic murder that the father, Florio, and Soranzo, who know of the pregnancy, become aware of its source. On the other hand, Vasques, Soranzo's henchman eventually learns of the source, and vows to announce it, or to kill the pair in the act of intercourse.

The play is rife with heart symbolism -- the heart is mentioned no less than 53 times -- and throughout there are

hints of the murder to ultimately take place. The symbolism that occurs, either manifestly or impliedly, is heart=womb, heart=breast, heart=penis and heart=sun. In addition, there are constant jokes about the metaphorical invocation of the heart in our speech which contrast the metaphor with the literal meanings. To give an example, when Soranzo pleads with Annabella for her hand, he says: "Did you but see my heart, then you would swear. . . " At which point Annabella interrupts: "That you were dead" (1966, p. 48). In another sequence, a minor comic character is mistakenly killed when he utters the word "sweetheart" at which point his assailant takes his knife "home to his bosom" and the character, feeling the blood, remarks "I am sure I cannot piss forward and backward, and yet I am wet before and behind" (1966, p. 60). Further, in light of the denouement, which I have not yet fully explained, such seemingly metaphorical verbal statements as Giovanni swearing his love to his sister in terms of "And here's my breast, strike home. Rip up my bosom, there thou shalt behold, A heart in which is writ the truth I speak," (1966, p. 17) or she saying to him after sexual intercourse "And mine (heart) is his" (1966, p. 23) have particular import.

The denouement in detail is that Giovanni stabs his sister, as he kisses her and just as she says she forgives him "with (my) heart;" then he enters the banguet hall where Soranzo and Florio await them, carrying on the point of his upraised dagger, his sister's heart. He proclaims defiantly

to his audience:

> Be not amaz'd; if your misgiving hearts
> Shrink at an idle sight, what bloodless fear
> Of coward passion would have seize'd your senses
> Had you beheld the rape of love and beauty
> Which I have acted? My sister, O my sister! (p. 95)

His father asks: "What of her?" And he responds:

> The glory of my deed
> Darken'd the midday sun, made noon at night.
> You came to feast my lords, with dainty fare;
> I came too, but I digg'd for food
> In a richer mine than gold or stone
> Of any value balanc'd; tis a heart,
> A heart, my lords, in which is mine entomb'd:
> Look well upon't; d'ee know't? (p. 95)

Soranzo's henchman says: "What strange riddle's this?"

And Giovanni replies:

> 'Tis Annabella's heart, 'tis; why d'ee startle?
> I vow 'tis hers; this dagger's point plough'd up
> Her fruitful womb, and left to me the fame
> Of a most glorious executioner. (p. 95)

When the startled guests ascertain he is speaking the truth, he further announces that:

> For nine months' space in secret I enjoy'd
> Sweet Annabella's sheets; nine months I liv'd
> A happy monarch of her heart and her.
> . . .
> [But] her too fruitful womb too soon bewray'd
> The happy passage of our stol'n delights,
> And made her mother to a child unborn. (p. 96)

At this point, Florio, the father, curses his son, and dies on the spot of "a broken heart." Giovanni stabs Soranzo in the heart, but then is killed by Vasques.

I have quoted at length from the play because the lush symbolism should seem familiar to the reader. The equations here include in addition to those already mentioned

heart=food (or ultimately breast), heart=stone or jewel, and heart=fetus. The analogy between an aggressive sexual act, ripping open the womb, and ripping open the chest to read the heart -- penetrating both -- is manifest. Even more striking, is how closely this scene resembles that of Aztec rites, in which the heart of the sacrificial victim, who also represents the sun, is raised in offering to the sun. Giovanni even makes reference to eclipsing the sun, becoming like a god, for his deed.

The conclusion that might be drawn from the complex of symbolic elements in this play, which resemble so closely the elements in Aztec ritual; and which echo as well what we have seen throughout our study of heart symbology including the three case studies in more or less degree, is that an archetype is tapped when incestuous wishes in particular are at issue, or Oedipal dynamics, and the heart may become invested with exaggerated value. The psychotic-like sequence of actions and imagery, in this play, simply reveals the underlying symbolism which adheres to the heart whenever a superego prohibition is ambivalently encountered, particularly an incestuous one.

Heart as seed or small stone

To explain why the ostensible archetype of the heart as seed or stone is so impressive to me, I must introduce some personal data. The justification for doing so resides most convincingly in precedence. Freud and Silberer, in their

symbolic studies, introduced personal data; and the verities of psychoanalysis relied, initially, on Freud's self-analysis. The danger of such introduction is that a personal idiosyncracy will be generalized; and the only way to prevent this is to then attempt to seek other contexts to test the hypothesis first discovered by some degree of introspection.

The personal data has to do with the genesis of this heart symbolic dissertation, and the short study that preceded it. It did not begin as a study of heart symbolism, but in a manner which seems extraordinarily tangential. It was the consequence, intially, of a dream. Near the beginning of my personal analysis a number of years ago, I had the following dream:

> I COME OUT OF A WOODED AREA, FROM A HIKE, WITH AN OLDER COUPLE, HANS AND OLGA, AND A WOMAN MEETS US IN A KARMEN GHIA CAR. HANS IS LOOKING ON THE GROUND FOR A GREEN STONE THAT THEY HAD PREVIOUSLY FOUND BUT DISCARDED. OLGA SAYS: "I'M SO TIRED, I'M DOPEY." AND HANS SAYS: "THAT'S FUNNY. A REAL WOMAN WHEN SHE GETS TIRED SHOULD GET DOPEY, YAH." SOMEONE HAD LEFT A PORTION OF GREENSTONE THERE. HANS FINALLY FINDS IT AND PICKING IT UP SAYS: "YAH, THAT'S IT." IT WAS SHAPED SOMEWHAT LIKE THIS  AND IT WAS HIGHLY POLISHED.

The dream was attended with overwhelming affect of relief and contentment, as if we had finished with hard work. The dream had a number of determinants which are not relevant to our discussion; and other aspects of it remain opague. But the relevant part for our purposes was somewhat straightforward as follows:

The two people appeared to represent my maternal grandparents, who had cared for me -- almost as parents -- when I was a very young child, and whom I had returned to periodically during the summers. I was deeply attached to my grandfather, who had passed away three years prior to this dream. Olga in the dream reminded me of my grandmother, partly because of the affect of the yawn, and the feeling of contentment I had in her presence. Indeed, both these individuals lent themselves to idealization by their grandchildren: They had been a country doctor and country dentist, who lived (and practiced) in a small Adirondack village; and in a large old home with a fireplace, and a barn in back. Hans and Olga as names to represent them (their names in actuality were Sasha and Manya) seemed to be a reference in part to the folk tale about Hans and Gretel, who leave a trail of breadcrumbs to find their way back home when they go for a walk in the forest, but the breadcrumbs are eaten by birds, so they become lost. Here, the wish expressed in the dream, which has a recurrent theme of things lost and recovered, is that the sense of being lost will be prevented by substituting a solid stone for the breadcrumbs. Put differently, the wish appears to be that I <u>can</u> go home again.

This theme of resurrection is apparent from the use of the greenstone imagery. My grandfather's last name was "Gersen," of which "greenstone" is an anagram. In fact, the fantasy here is that I am a "Gersen son" which is even

closer to "greenstone" or to put it differently, in the strange way I wrote the dream "a portion of greenstone" seems to be a play on a "chip off the old block." In addition, the recovered stone, long and green, the color of growing vegetation, appears to be a phallic symbol. Thus, the dream seems to express, as one of its wishes, the wish for the resurrection of my dead grandfather, and for my own return to an identity with my grandparents ("almost my parents"); or for a wish to prevent castration by recovering a phallus associated with grandfather.

I was very impressed by the vividness and affect of this dream; so much so that -- unlike other dreams -- I took it as a "core" dream in some way to my psychology. At times, in fact, I found myself thinking that the sense of healthy tiredness in the dream, expressed the fantasy that when I found the meaning of the greenstone, I would have come to the end of my psychoanalysis.

A year later, in the process of doing research for a legal appeals brief in my capacity as an attorney, I was involved in making an abstruse fallback argument concerning conscientious objection for a Mexican-American youth who wished to rely on his quasi-religious belief concerning "Atzlan," the Aztec name for their territory of origin (before they migrated southward) which allegedly was the same land as the contemporary American Southwest. (The case was won on other grounds.) In the process of doing historical research to support his contention, I happened to

discover the unrelated fact that the Aztec death rites involve a "greenstone" as a symbol for the heart. Still a number of years beyond this, in personal reading, I discovered the similar symbolism, involving the generally green stone scarab, in ancient Egyptian burial rites. Neither of these discoveries would have been more than curiousities if it were not, as I have stated, for the driving impact of this dream, which had an affect which cannot be well communicated in words.

Thus, I began, initially, an article based on the importance of the "greenstone" image as a resurrective motif. But as I worked on this article, it began to change almost of its own accord. A primary reason for the change, was my realization that in both instances the "greenstone" represented the heart. This seemed to refer in part to something intrinsic to my analysis -- namely the fact that my psychoanalyst underwent a heart bypass operation within the first six months of my analysis with him (a fact he told me at the time) and had only just successfully returned from the operation at the time of my dream. Apparently, my fear, as a patient, was that he would die; indeed, I found that I was -- despite myself -- often afraid to express anger during the subsequent therapy because of fear that his heart would fail him. Logically, of course, I knew that I was grappling with my own ambivalent wish for omnipotence, and fear of it -- in other words, the fear of my own death wishes. I feared for the death of my analyst, who as a

doctor early on in the analytic transference represented my own now deceased doctor grandfather, who had "left me" as a child.

But the thing which puzzled me was how insistent this dream image of greenstone was, even before I knew its meaning within two cultures as a symbol for the heart. Regardless, I began to change the focus of my study to heart symbolism, specifically to the question of the origin of the stylized heart shape. From here, the study proliferated.

Beneath this manifest surface (which I am often reluctant to explain because it sounds so logically implausible) there are no doubt other earlier determinants of this study. One which I might mention is that I suffered as a child of one and a half extensive scarring on my chest as the result of an acid burn, when I poured acid on myself after wandering into my grandmother's dental office. My grandfather saved me (note the rescue motif, the reverse of my wish in the dream to resurrect him) from more severe damage, but for years I had a bright red scar that must have occassioned comment and attention. It is only lately that I have let myself become aware that even now (when the scar is considerably less obvious) it is stared at by people when I am on the beach.

My point in all this is that this particular dissertation is really the consequence, in a Jungian sense, of an amplification of a particular symbol -- the greenstone -- that appeared in a dream from many years ago. Further, I

am particularly struck by the similarity of this experience of my own with that recounted, and pieced together, by the patient Victor. In his case, one finds a heart motif combined with an obsession with stones -- the pattern on the stone floor, the cobblestones, the rose jewel -- which appeared to take a hold of him, to well up from the subconscious, when his ego no longer had control as a consequence of two traumas: his father's death and the beating in the bathroom. In both instances, the affect of the incidents had been transferred to symbolic elements. This is why there is discomfort at the logical implausibility of the genesis of this dissertation; the gensis is -- insofar as consciousness is concerned -- out of ego control. The traumatic affect of these historical events attaches to something that wells up from the subconscious in ways that can only be a surprise to the ego. Why, the ego asks, should a stone, associated with the heart and with a seed, be such an apparently obsessive source of interest? The peculiar sense of being "lived" by unconscious processes which one discovers in these Jungian dynamics is deeply disturbing to our wish for control over our lives. On the other hand, what is exhilarating is the discovery that there is a pattern of growth of which these initial events are an announcement. In his analysis of alchemical transformation symbology, Jung points out, for example, how the "greenstone" is what is turned into gold, by citing the Rosarium Philosophum, in which it is the

verdigris on the bronze which is changed into "true gold" (Jung, 1953, p. 152). Irrespective of the issue of appropriate therapeutic technigue (which is something else again about which I have generally favored a Freudian orientation in the work discussed here) Jung's thesis that the psyche articulates symbolic patterns of healing and transformation fits surprisingly well the data of my personal experience and those of the patients presented here. Put differently, the heart can also function symbolically in a liberative manner.

CHAPTER EIGHT: CONCLUSION

In this final chapter, I wish to look back upon the data presented to discuss how successfully the hypotheses concerning heart symbolic equations have been confirmed, and to suggest further studies. In evaluating whether the hypotheses are confirmed in a non-experimental study such as this one, we are faced with the fact that we do not have available a numerical criterion, as one might in a statistical study, on which to base our judgment. As suggested in the first chapter, the primary criterion which we apply -- after consistency of the theoretical system -- is whether the hypothesis has explanatory power. Within the concept of explanatory power, I would include some predictive power -- for if one is able to explain historical events successfully, future events should follow similar dynamics.

How well have I succeeded, based on the criterion of explanatory power, in confirming the heart symbolic equations I have proposed? Undoubtedly, each reader will have a different assessment and will feel somewhat differently about the different data presented. He may find some of the equations fully justified, and others strained. He may find some of the cases more convincing than others. He may find some aspects of the attempt to determine the origin of the stylized heart shape as laudable, and others as extravagant. (Here I am reminded of the reactions of two

of my colleagues to the preliminary study of heart symbolism which I published that preceded this dissertation. One, a woman, praised it but confided that while she was fully convinced by my data that a heart=breast equation existed, she thought I was really on the wrong track concerning a heart=penis equation. A few days later, a male colleague also praised the article, but confessed that while the heart=penis equation was convincingly handled, I seemed to be forcing things with the heart=breast equation.)

My own perception is that all of the equations are confirmed by the data, and I am convinced of their validity. However, I think the reader will find more data about some of these equations than others, and from a wider variety of sources. Thus, the heart=glans penis equation does not appear in psychoanalytic literature, although I would contend this is partly because of scotoma of the glans penis (just as there is scotoma of the nipple in the literature) (Bradley, 1973). Nor -- and this is surprising -- does the heart=breast equation appear with the exception of the article by Rorschach. One would not expect some of the other equations, heart=bird, heart=seed, heart=sun to be prominent in the Freudian psychoanalytic literature which is generally devoted to sexual symbolism. These equations -- as well as heart=glans penis and heart=breast -- however do appear in the cultural data which I have presented, and so manifestly that I think they are unavoidable. The fact is that the heart in these cultural manifestations was

explicitly symbolically equated with sun, breast, bird, seed. Further, the heart has been invariably involved in castrative and resurrective motifs, both in the psychoanalytic literature and in the other data. In addition, the castrative and resurective motifs are often explictly given by the cultures. The same cultural explicitness can be said of the motif of the heart as the "conscience" of the individual, as a semi-independent entity symbolically akin to the superego. One may deny, of course, that these explicit motifs appear in the subconscious productions of patients, but -- given the data from the patients here -- in which the heart was associated with seed, penis, vagina, womb, and breast (often explicitly), I think that this argument fails.

Lastly, it is impressive to me that the concepts in this dissertation are the consequence of adopting certain hypotheses and following through on them. The idea for the derivation of the stylized heart shape came about because the double crescents so impressed me; but I had no data to begin with (except my knowledge that the crescent shape was historically significant and that crescent horns were associated with early phallic worship). Nor did I have any idea that Dionysus was associated with ivy that had a cordate leaf. I just had a puzzled perception, probably derived from childhood, that some leaves were called "heart shape" when they were already in a double crescent shape that no human heart ever took. In fact, when I first noted that Dionysus was associated with the heart, and had as an

attribute ivy, I discounted the idea that this might have led to our current heart shape; only to then force myself to see that as a hypothesis it had considerable merit. Finally, of course, as suggested in the previous chapter, it is impressive to me that this entire dissertation began years ago as a consequence of observing some similarity between heart as greenstone, in Aztec and Egyptian rites -- and that by following through on the hypothesis that some firm symbolic equation would explain the similarity, I should discover and mine so rich a symbolic vein.

Thus, from the point of view of predictability in terms of creating this dissertation, I have probably a different view than the reader, who has not participated in the process. The danger of course is that, being so invested, I have lost perspective. It is for that reason that I have tried my best to provide a variety of contexts, to protect against the eruption of idiosyncratic interpretations. My feeling is that insofar as possible, using the methods recounted, I have succeeded.

However, there are other studies that could be done -- to which I have alluded -- that would conceivably provide additional confirmation and new information. One, would be a tachistoscopic study of the stylized heart shape, similar to what Almansi performed with Moses' tablets. Another would be a study of the development of heart symbolism in children, in which young children would be asked to draw the heart within a body, and asked questions about it -- in a

Piagetian manner -- to find out what thought processes exist.

Even more, one might suggest that with the advent of computer technigues, symbolic studies such as this one could be conducted much more easily. Numerous disciplines, including anthropology, have begun to use computer technigues, but the study of symbolism in particular seems an area ripe for such technigues -- which would permit the researcher to focus on one object as a symbol in psychotherapeutic cases, anthropology, or mythology. A grandiose hope would be that the human body itself could be mapped out in terms of its symbolic meanings. (I am reminded of my treatment of a seven year old boy whose father suffered from epilepsy, and who produced some striking symbolism concerning the head or brain. How <u>is</u> the brain symbolically represented?) But then, all of this is another story . . . and another journey.

I have come to the end of this journey.

Appendix*

*This appendix contains figures 1 - 36 referred to in the text, particularly in Chapter 5 (pp. 230 - 262) entitled "The Configuration of the Heart". Although extensive commentary accompanies some of these illlustrations, the reader should refer to the text for information within context.

Figures 37 - 45 are drawings by the patient Gwen and appear in the text (pp. 434 - 439) immediately following an account of her treatment.

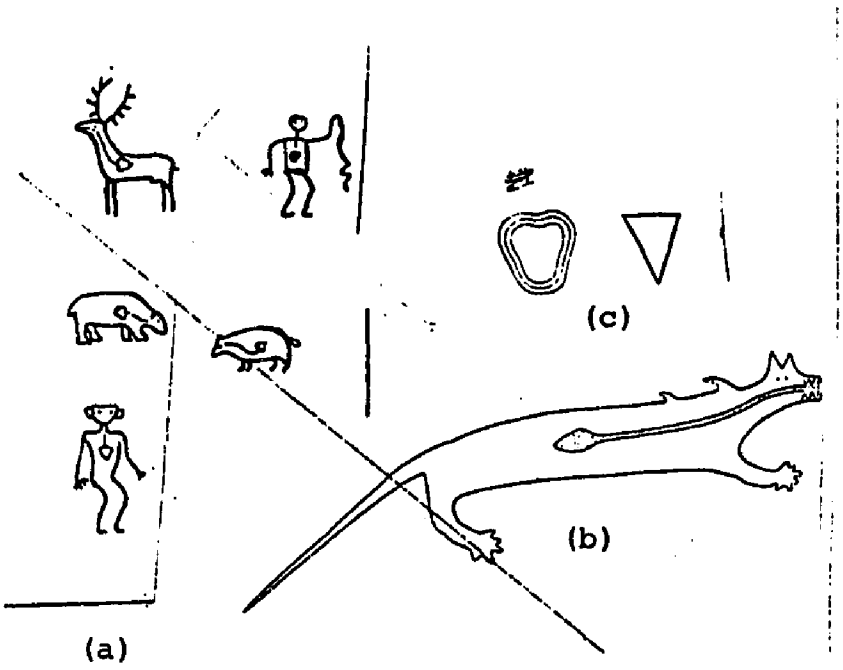


Figure 1 The heart as depicted in various American Indian drawings. The line from mouth to heart is referred by anthropologists as the "life-line." It suggests the heart= stomach equation.

Note. (a) and (b): From Picture Writing of the American Indians by G. Mallery. New York: Dover, 1972, figure 50 and Plate XXXI, (Originally published 1893)

(c) from "Symbolism of the Arapaho Indians" by A. L. Kroeber," Bulletin of the American Museum of National History, 1900, 13, Article 7, 69-86, figures 14 and 15.

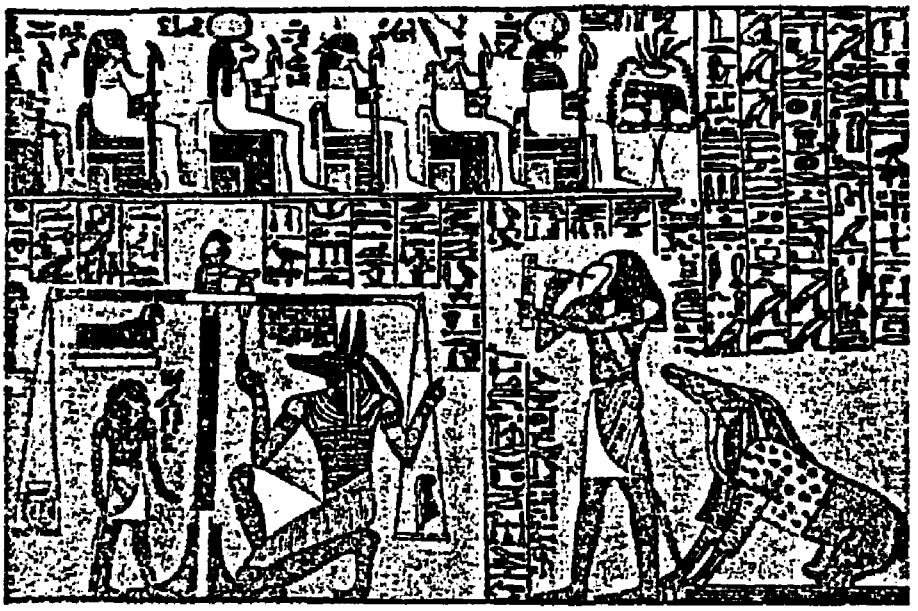


Figure 2 The ancient Egyptian myth of psychostasia or "weighing of the soul". The heart of the deceased, is in the Canopic jar, being weighed against truth or law, represented by the feather. The Devourer of the Unjustified (sometimes referred to as Eater of the Dead) sits to the right, awaiting the outcome. Thoth, the recording angel and god of writing and mathematics, is holding his stylus to note the result of the weighing. His head is that of an ibis, and he was referred to as "Father of the Reaping Hook." In the next sequence, Ani--having passed the test--is ushered before the final judge, Osiris.

Note. From The Gods of the Egyptians by E.A. Wallis Budge. Vol. 1. New York: Dover, 1969.



Figure: 3 A medieval Christian adaptation of the ancient Egyptian "myth of psychostasia." The archangel Michael weighs the deceased soul, while the horned evil (who has replaced the Devourer of the Unjustified) stands by, attempting to weigh down the balance and "demanding his due." The heart has been dropped from this last judgment scene. It is interesting to contemplate the difference between this last judgment, in which the very act of weighing is subject to the fight between good and evil, and the ancient Egyptian, where the weighing is done without apparent prejudice, and the issue is whether the heart will testify for or against the deceased.

Note. From Life in the Middle Ages by Robert Delort. (Robert Allen, trans.) Lausanne: Edita Lausanne, 19 . Distributed by Universe Books. Reproduced with permission of the copyright owner.

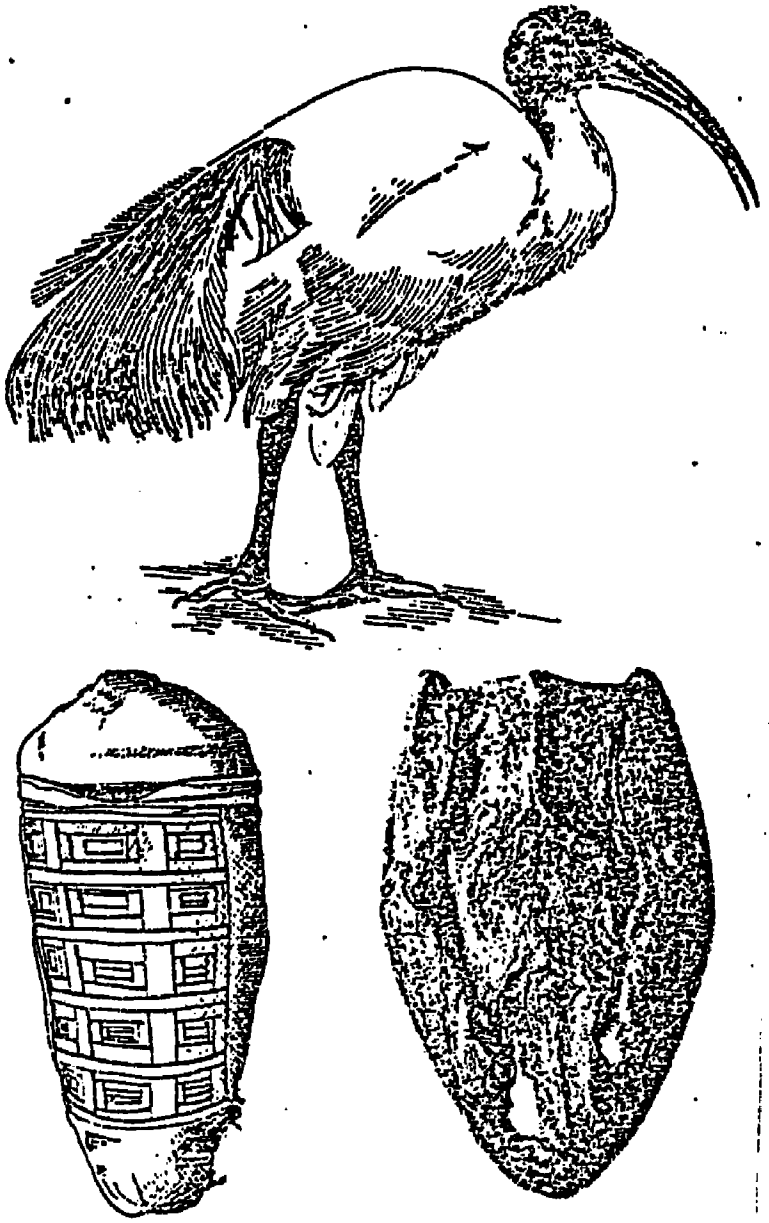


Figure 4 Egyptian ibis in life, and mummified. The ibis was an ancient Egyptian symbol of the heart. It has been contended that its mummified shape was so like the heart as to create the symbol. It appears more likely that this was only one determinant.

Note. From "Interpretation de quelques Passages d'Horapollon" by L. Keimer, Supplement aux Annales du Service des Antiquities de L'Egypt, Cahier No. 5. Cairo, Egypt, 1947.

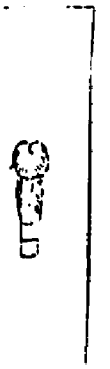


Figure 5 Aztec "cane" symbol for the heart. The heart=penis symbolic equation is unmistakeable. In addition, the top part of the cane resembles the stylized heart shape, and the heart=glans penis equation appears to be present as well. However, I have not been able to confirm this symbol from other sources.

Note. From G. Mallery, Picture Writing of the American Indians. New York: Dover, 1972, Plate XLIX. (originally published, 1893)

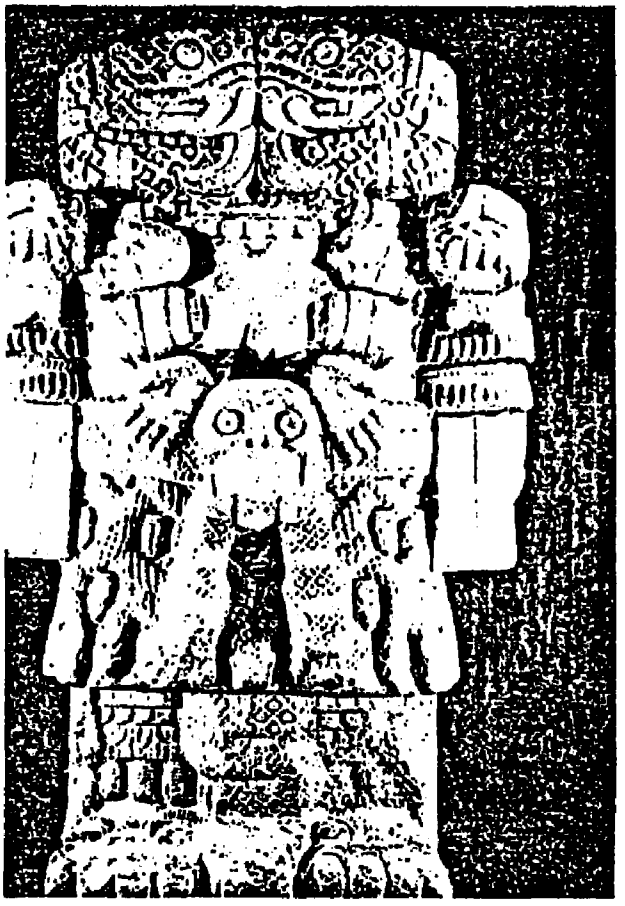


Figure 6 Coatlicue, Lady of the Serpent Skirt, the Aztec mother and death goddess. Obscuring her pendulous breasts is a necklace of alternating hearts and severed hands of sacrificial victims. A skull is at her waist, and she is wearing a "serpent skirt." This is the phallic woman with a vengeance.

Note. From Mexico by P. R. Vazquez. New York: Harry N. Abrams in association with Helvetica Press, 1968. Reprinted by permission of the copyright owner.

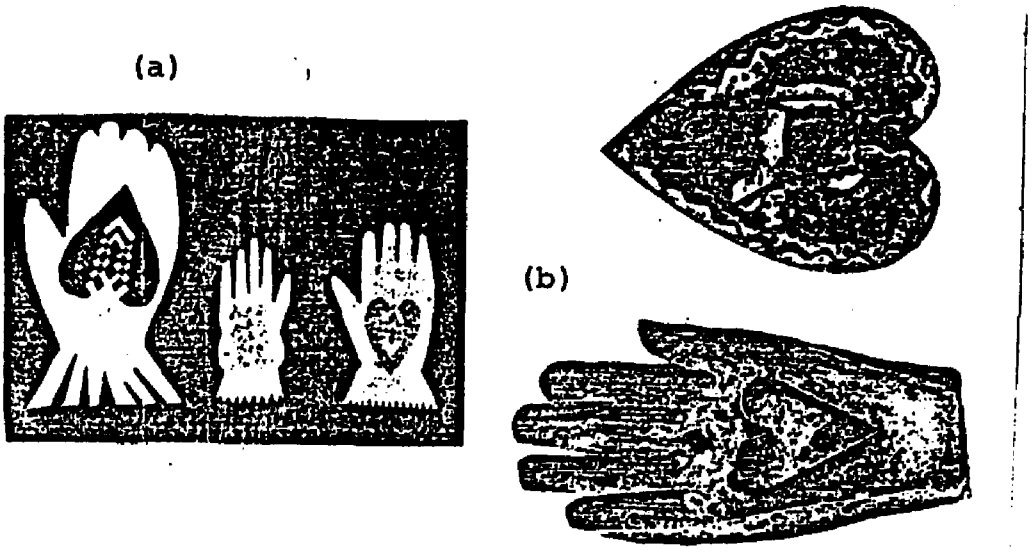


Figure 7. American folk art "heart in hand" and "hand in heart." (a) Cut and woven paper hearts in hands, c. 1850, artist unknown. (b) Cookie cutter hand in heart (above) and heart in hand (below), tinned sheet iron, artist unknown, 1850, from New York State. These cookie shapes appear to have disappeared from contemporary America, although heart-shaped cookies exist.

Note. From "The Heart of America" by E. Eff The Clarion: America's Folk Art Magazine, Summer, 1978, pp. 17-35.
(a) Collection of Mrs. Richard Riddell
(b) Collection of Jack T. Ericson
Copyright the Museum of American Folk Art.
Reproduced with permission.

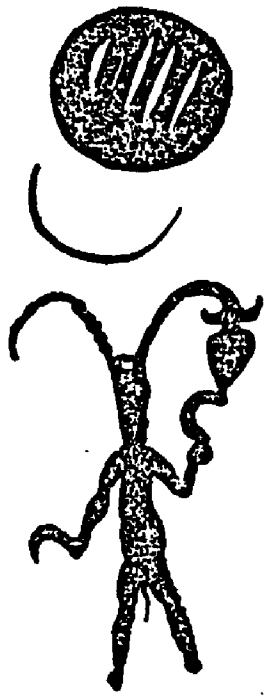


Figure 8 "Figure of a Demon" from the Cueva de los Letreros. A prehistoric cave drawing, possibly of a shaman, in which the theme of death and resurrection, combined with the symbolic power of the crescent shape, predominates. Note that the crescent moon is juxtaposed with the full moon, thus announcing the theme; and that crescent shapes, probably scythes, are held in the hands. In addition, the crescent horns are juxtaposed with the crescent moon. Although subconscious symbolism of the moon=breast and horns=breast variety appears, the bulbous shape attached to the end of one horn suggests a glans penis, and the horn=penis equation.

Note. From The Rock Picture of Europe by H. Kuhn. Fairlawn, New Jersey: Essential Books, 1956. (Figure 79) Reprinted by permission of the copyright owner.

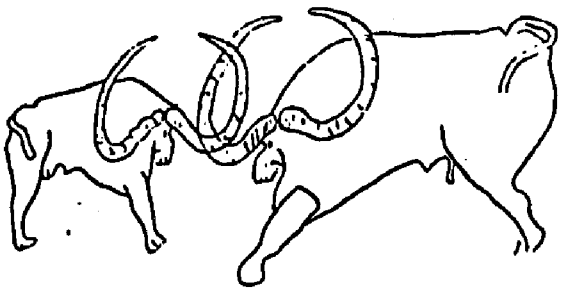


Figure 9 Six foot high figures of Bubalus incised on rock at Er Richa, Oran.

Note. From The Childhood of Art or The Ascent of Man by H. G. Spearing. London: Ernest Benn, Ltd. (Figure 80). Copyright 1930 Ernest Benn. Limited Reprinted by permission.



Figure 10 Heart-shape ornament juxtaposed with bull or bison horns from Chaldea seal.

Note. From The Childhood of Art or The Ascent of Man by H. G. Spearing. London: Ernest Benn, Ltd. (Figure 226). Copyright 1930 Ernest Benn Limited. Reprinted by permission.



Figure 11 Late Minoan (C. 1500 B.C.) vase with bulls' heads, double axes, and heart shapes (in a decorative row third from bottom). The extent to which the circle is a motif, the heart shape, and on other parts of the vase, suggests how overdetermined is the unconscious breast symbolism in this decoration.

Note. From Excavation on the Island of Pseira, Crete by R. B. Seager. Philadelphia: University of Pennsylvania (The Museum: Anthropological Publications III), 1910. (Plate 7)



LADY OF THE BEASTS
Painting, terra-cotta amphora, Boeotian, VII *century* B.C.

Figure 12 Painting on a terracotta amphora, from Boeotia, 7th century B.C. Note the heart shaped stylized head, and that the only other head separated from the body is that of a horned bull. This is referred to as the "lady of the beasts" or "mistress of the animals" by some commentators, and is believed to represent the woman or mother as a controller of animal life, and provider of hunting animals. The context thus suggests the heart shape as a breast symbol.

Note. From The Great Mother by E. Neumann. (R. Manheim, Trans.) New Jersey: Princeton University Press, 1972, Plate 134. Courtesy of the National Museum of Athens.

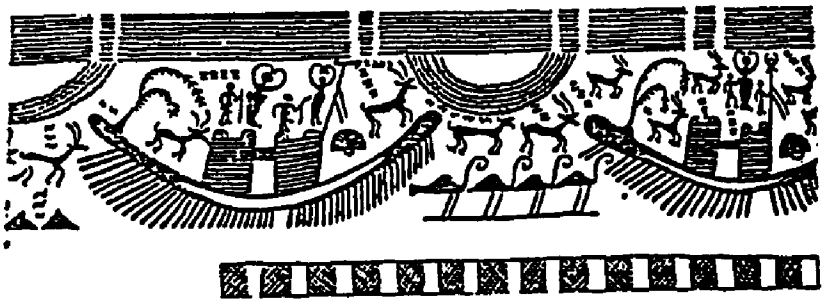


Figure 13 A vase design from Egypt, perhaps 400 B.C. The women with upraised arms form a heart shape in a motif common to Egyptian pottery at this time. Note how they are juxtaposed with horned animals, suggesting that the scene represents hunt magic.

Note. From Prehistoric Pottery and Civilization in Egypt by Max Raphael (Norbert Gutterman, trans.) Bollingen Series VII, Copyright 1947, C renewed by Princeton University Press. Plate 31 reprinted by permission of Princeton University Press.



Figure 14 Head of an ibex, Ancient Near East, Achaemenian, 6th - 5th Century B. C., Bronze. Stylization of all forms was a characteristic of the art of the ancient Near East. This pattern for the head and horns of the ibex was used over and over. Seen head on, the horns plus the snout form the heart shape in outline (See Wilkinson, 1956)

Note. Reproduced through the courtesy of the Metropolitan Museum of Art, Fletcher Fund, 1956. All rights reserved. The Metropolitan Museum of Art.

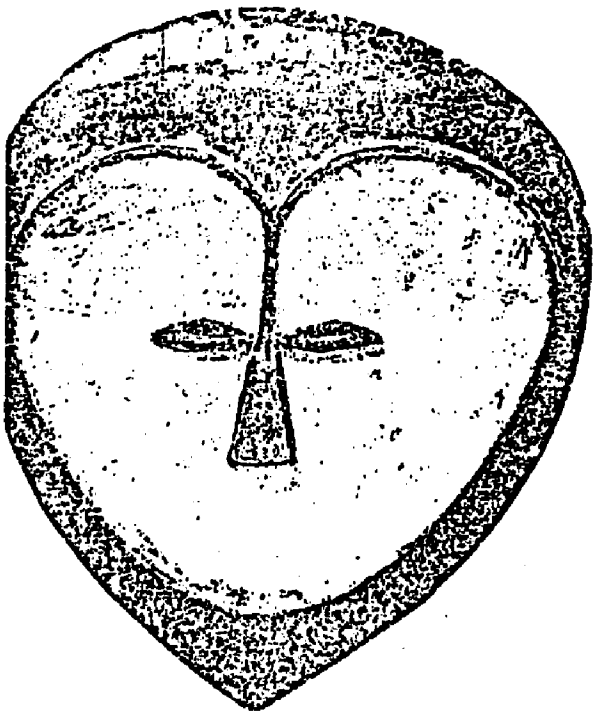


Figure 15 A beautiful example of a stylized heart shaped Kwele mask, from Central Africa. The heart shape is a typical mask motif of the Kwele and Fang tribes, deriving originally from the curved horns of hoofed beasts.

Note. From Sculpture of Black Africa, The Paul Tishman Collection, by R. Sieber and A. Rubin. Los Angeles: Los Angeles County Museum of Art, 1968. (Figure 120)
Copyright Paul Tishman. Reproduced by permission of the copyright owner.

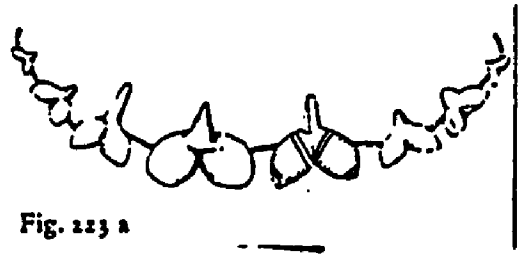


Fig. 223 a

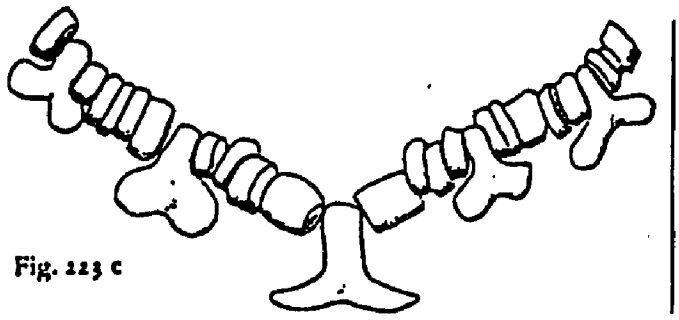


Fig. 223 c

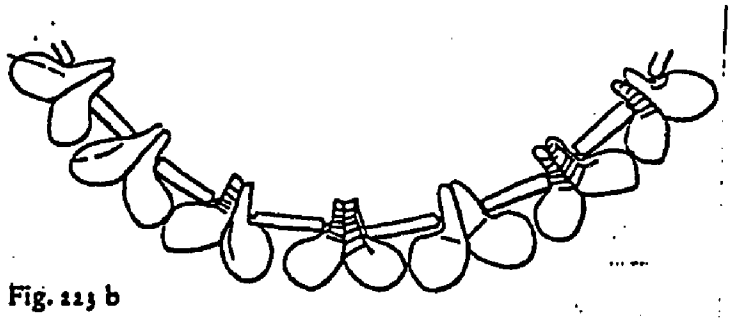


Fig. 223 b

Figure 16a Line renditions of pendant beads in the shape of the double breast image from the Upper Paleolithic and later cultures: a) Dolni Vestonice, the East Gravettian or Pavolovian of Czechoslovakia; b) Natufian, the Mesolithic of Palestine; c) Aveyron, the Megalith builders of France. These motifs, from different early cultures over time, strongly suggest that the stylized heart shape began as a breast symbol.

Note. From The Roots of Civilization by A. Marshack. New York: McGraw Hill, 1972, Figures 223a, 223b, and 223c. Reproduced by permission of the copyright owner.

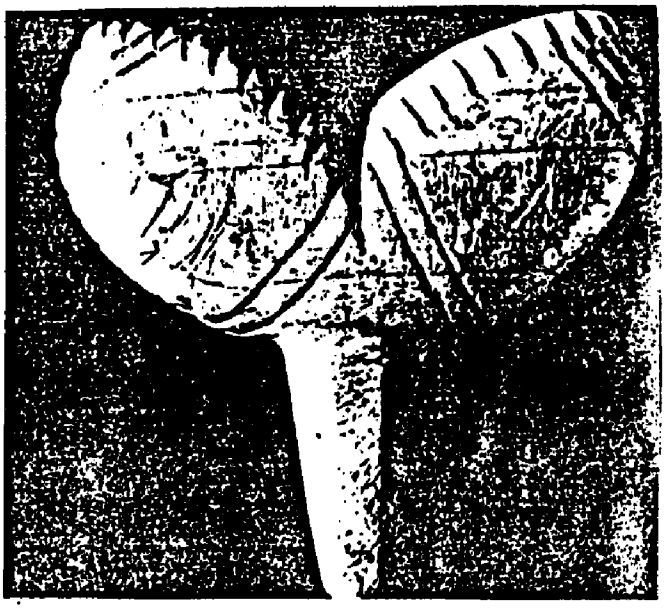


Figure 16b A photograph of the Dolni Vestonice bead in the line drawing above. Note the incised marks on the edges, which A. Marshack contends are calendric calculations.

Note. From The Roots of Civilization by A. Marshack. New York: McGraw Hill, 1972, Figure 164. Reproduced by permission of the copyright owner.



Figure 17 A representation of Dionysus from a fifth century B.C. amphora by Kleophrades Painter. An ivy leaf wreath is around his head, with its prominent "heart" shapes, this might be a contemporary St. Valentine's card. Other Dionysian attributes are the grape leaves and vine in the background, and the leopard skin.

Note. From Greek Art and Architecture by J. Boardman, J. Dorig, W. Fuchs, and M. Hirmer. New York: Harry N. Abrams, n. d. (Plate 21) Copyright Dr. Max Hirmer. Reprinted by permission.



Figure 18 A dancing maened or woman worshiper of Dionysus, attributed to Brygos Painter, c. 490 B.C. She is carrying a thyrsus topped with heart shaped ivy leaves. The snake on her head, another attribute of Dionysus, is a further phallic symbol. Dionysus often was depicted wearing a leopard skin.

Note. From Prolegomena to the Study of Greek Religion by J.E. Harrison. Cambridge University Press, 1925, Figure 125. Copyright Cambridge University Press. Reprinted by permission.

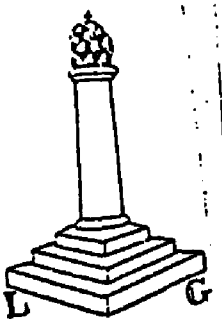




Figure 19 Top: A perron, or column topped with a pine cone, usually placed in the center of a village square beginning in the Middle Ages in Europe. In addition to its obvious relationship to tree worship, it suggests the pine cone=glans penis equation, and--historically--may have derived from Dionysian worship in which a pine cone was placed on top of the thyrsus and symbolized the heart.

Bottom: The pine cone as an emblem for the City of Augsburg.

Note. From Migration of Symbols By C.G. D'Alviella. New York: University Books, 1956, figures 50 and 54.



Figure 20 An example in reproduction of the heart= pine cone motif popular in early American folk art, here on wall stencils typical of the time. The heart shapes are surrounded by four crescents on top, suggesting the heart=breast equation, and the pine cone is depicted in full. Transported to this scene, a Dionysian worshiper would read the design as "ivy leaf" (i.e. the heart shapes) and pine cone, the attributes of Dionysus.

Note. From "Stencils," stenciling by Gayle Young, House Beautiful, Vol. 121, No. 3 (March, 1979) pp.104-107, 106. Reprinted by permission of copyright owner.

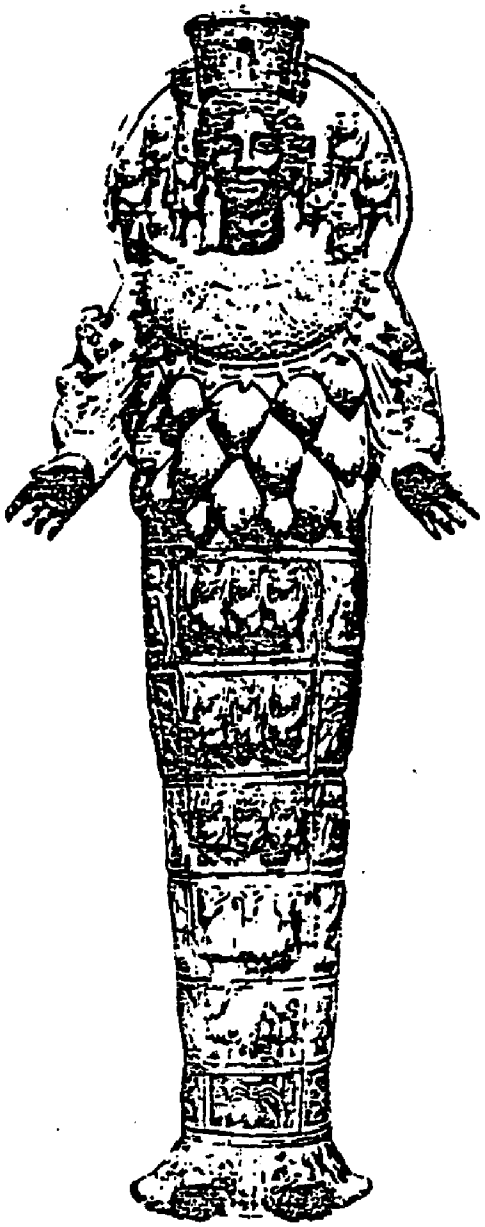


Figure 21 Diana of Ephesus, Rome, 200 A.D., alabaster and bronze. This is one of the multiple breasted goddesses depicted in various cultures. It is reproduced here to show how much the multiple breasts resemble the bracts on a pine cone, thus providing confirmation for the pine cone as a breast symbol.

Note. From The Great Mother by E. Neumann. (R. Mannheim, trans.) New Jersey: Princeton University Press, 1972. (Plate 35) Reproduced by permission of the Museo Galerie Nazionale, Naples, Italy.

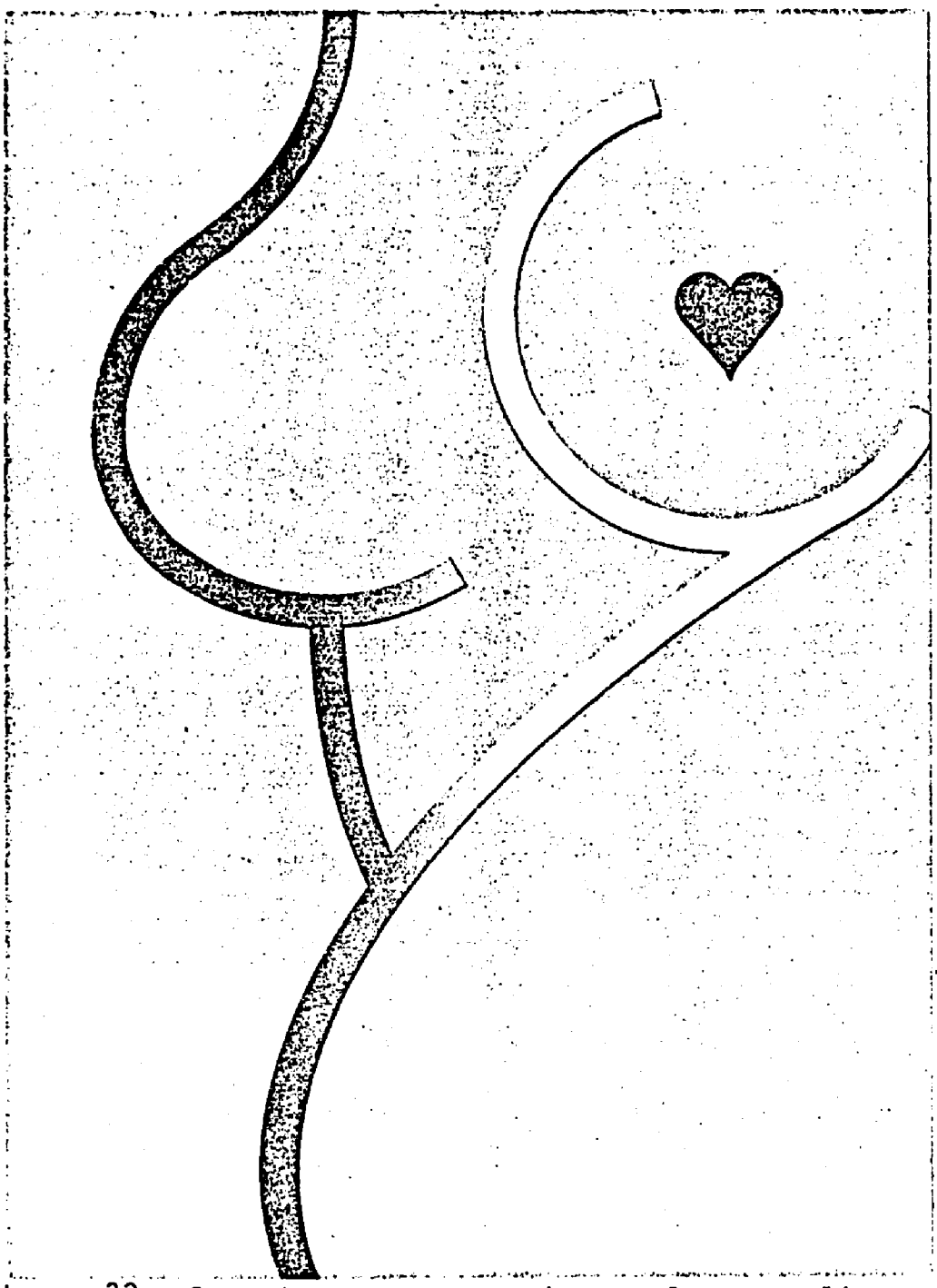


Figure 22 A contemporary greeting card. A stylization of the nude female form in which the heart=nipple equation consciously is invoked, a variation of heart=breast equation.

Note. (C) 1977 Design by Fishman RAINBOWORLD Reproduced by permission of the copyright owner.

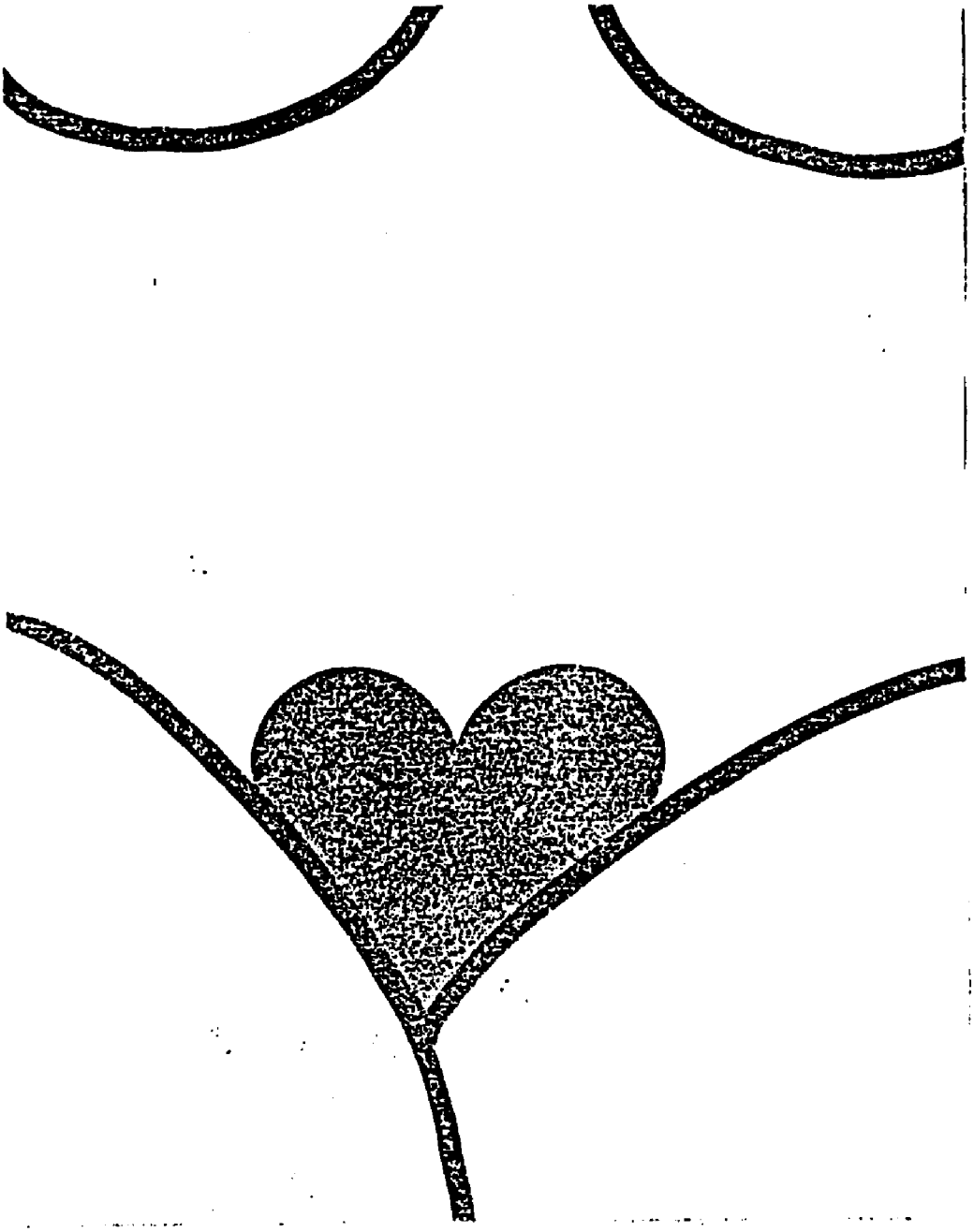


Figure 23 A contemporary greeting card. A stylized nude female form in which the heart-vagina (or heart=vulva) equation is invoked. The heart is appropriately in bright red, whereas the other lines are black. This type of conscious and graphic heart=vagina equation is quite common in sexually suggestive illustrations today.

Note. (c) 1977 Design by Gill Fishman RAINBOWORLD ™ Reproduced by permission of the copyright owner.

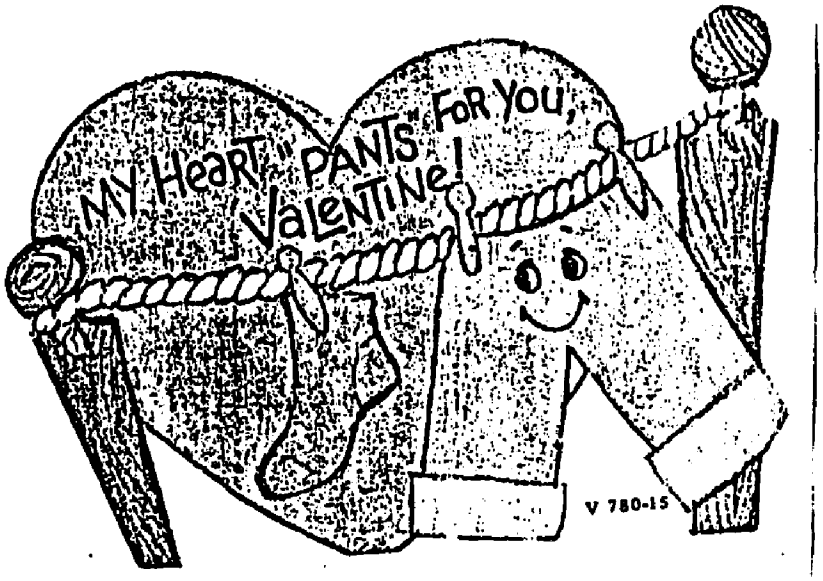


Figure 24 A contemporary note card. An example of the heart=penis equation, in which the pun on "pants" and the drawing of the face at crotch level, suggest the equation just below the manifest material.

Note. From contemporary note card without identification.



Figure 25 A contemporary magazine advertisement, and a striking example of the motif of the pine cone. The pine cone=breast equation is apparent in that there are two breast-like "pine cones" made of nuts, which form the multiple crescents of the breasts; beneath lies the cream cheese and mayonnaise spread, symbolizing (unconsciously) the breast milk. The heart shape comes from the outline of pine cones and the board. (In addition, phallic associations are apparent in the knife with spread on the tip lying on top of the board and the name of the spread "The Nutsnacker.") Oral determinants predominate.

Note. "The Nutsnacker," advertisement of Blue Diamond^{R} and Kraft, Inc. Reproduced by permission of Kraft and Blue Diamond, the two copyright holders. Blue Diamond^{R} is a registered trademark of the California Almond Growers Exchange, Sacramento, California.

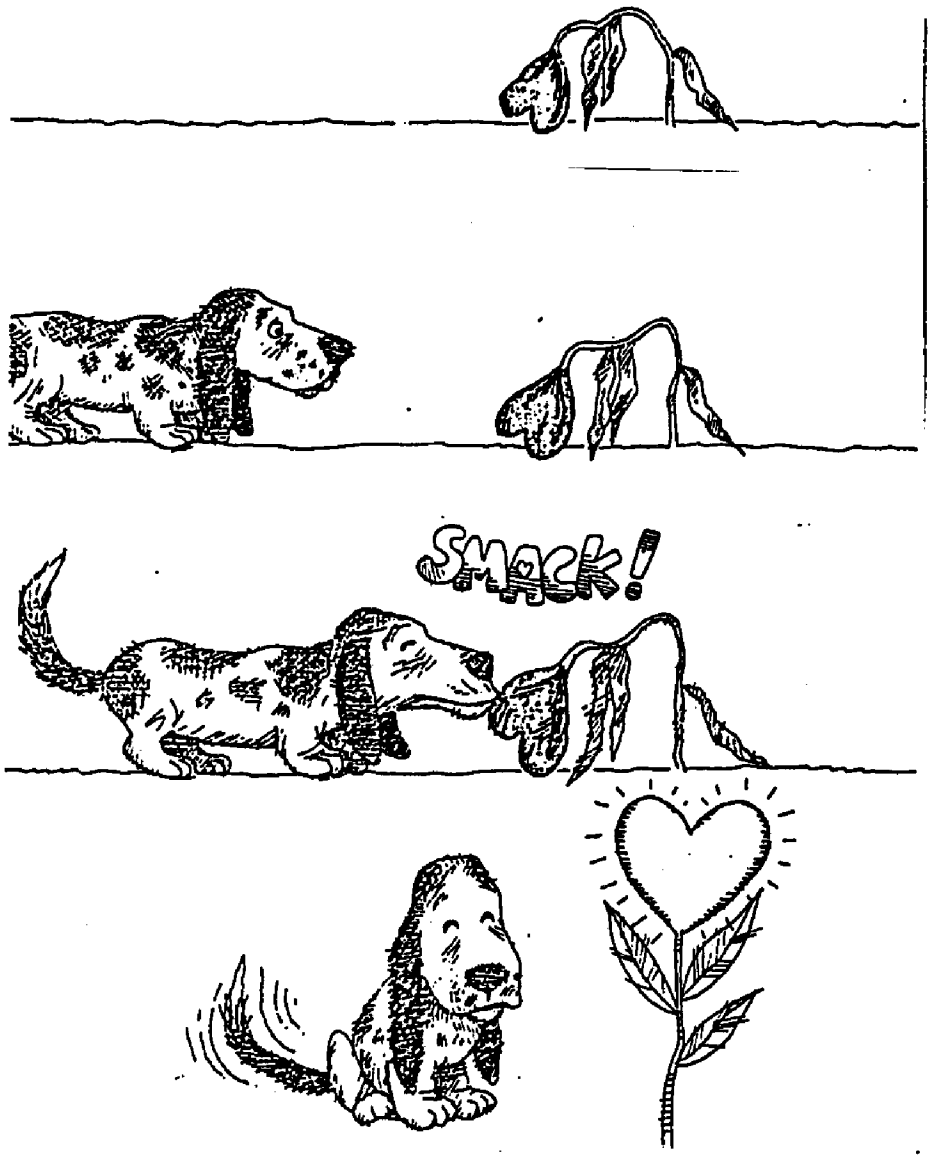


Figure 26 Contemporary greeting card. An example of the heart=plant equation and, more disguised, the heart=glans penis equation. When kissed, the drooping plant stands upright and the top turns bright pink.

Note. (C) Copyright MCMLXXIII FRAN MAR GREETING CARDS LTD. Reprinted by permission of the copyright owner.

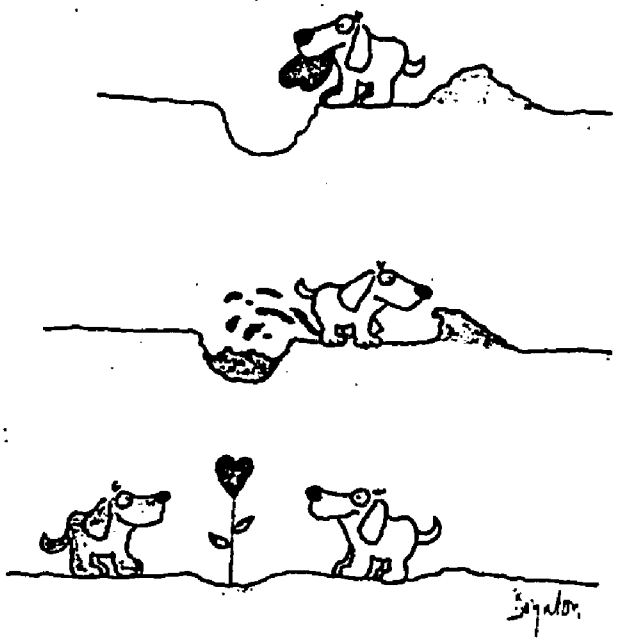


Figure 27 A contemporary greeting card. A delightful example of the heart=seed equation, and of a resurrection motif. Note also the heart= glans penis equation lying beneath the use of the heart shape as a flower.

Note. (c) Recycled Paper Products All Rights Reserved Design by Sandra Boynton #A-9194

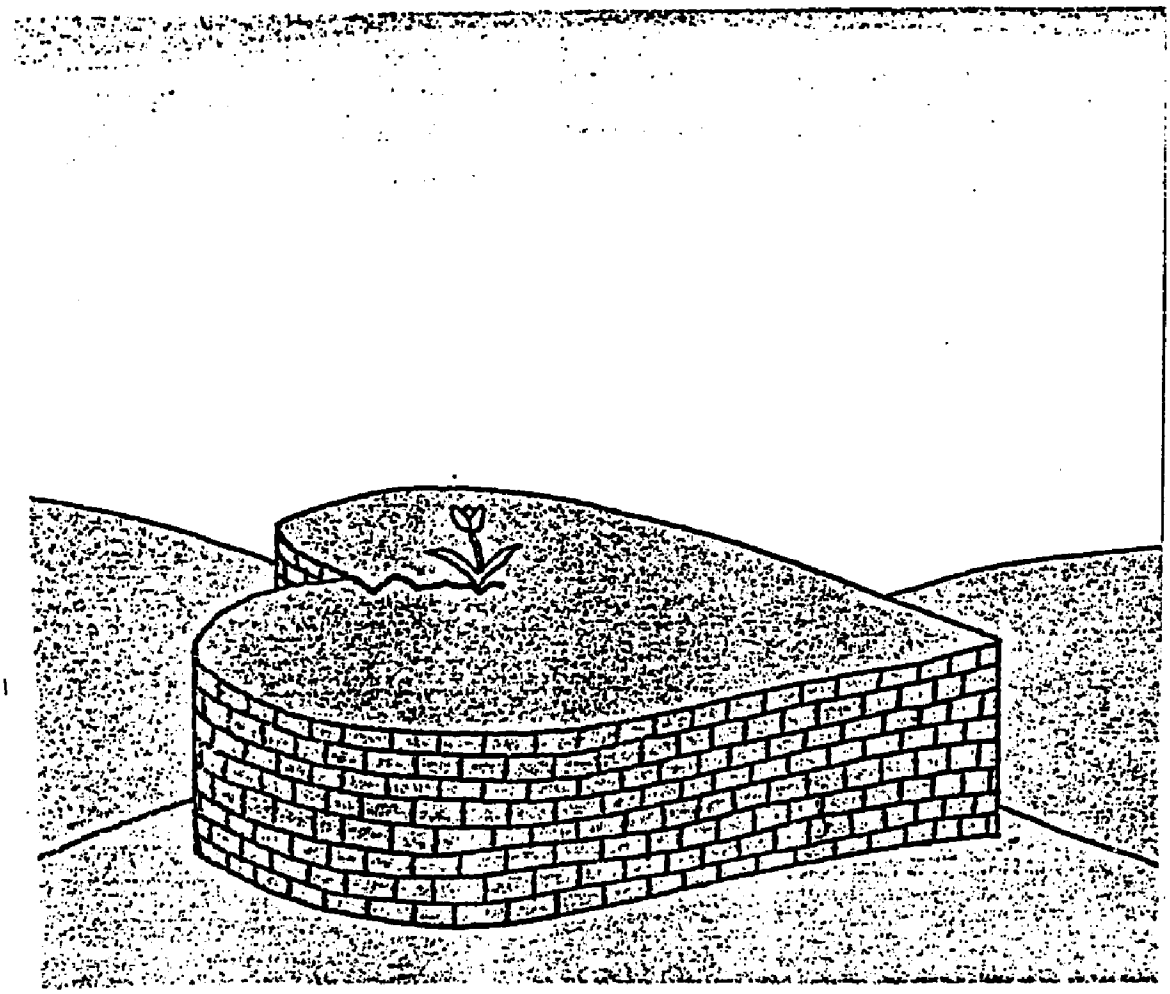


Figure 28 A contemporary greeting card, entitled "Heart with a Crack." Another instance in which the heart and plant growth combine in the same motif. The subconscious symbolism of heart=vagina is more apparent in the original, in which the heart and the landscape are close to flesh color.

Note. "Heart with a Crack"
(c) June Sobel 1977
Reprinted by permission of the copyright owner.



Figure 29 A contemporary greeting card. On opening, the card is filled with heart shapes. Intuitively the artist has grasped the meaning of the heart sign.

Note. (c) Recycled Paper Products
All Rights Reserved Design by Hadley Robertson
#V-9681

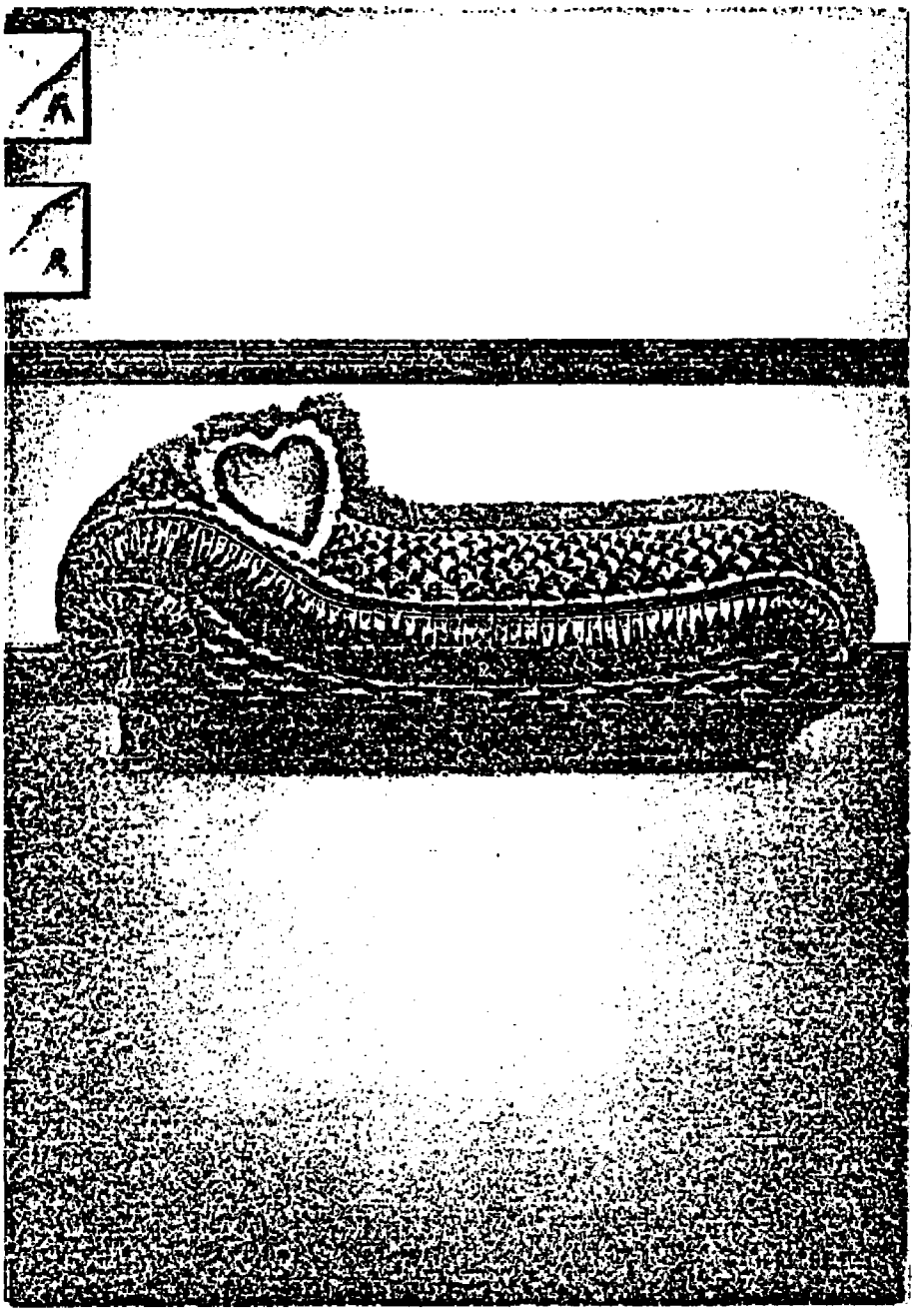


Figure 30 A contemporary greeting card, which was originally designed for a magazine article on psychotherapists' seducing patients. An interesting example of a subconscious equation of the heart with forbidden genital wishes.

Note. From greeting card "The Analyst" by Dickran Palulian, (GZ808-60). Copyright 1978 by Paper Moon Graphics, Inc. Los Angeles, Calfornia 90034. Reproduced by permission of the copyright owner.

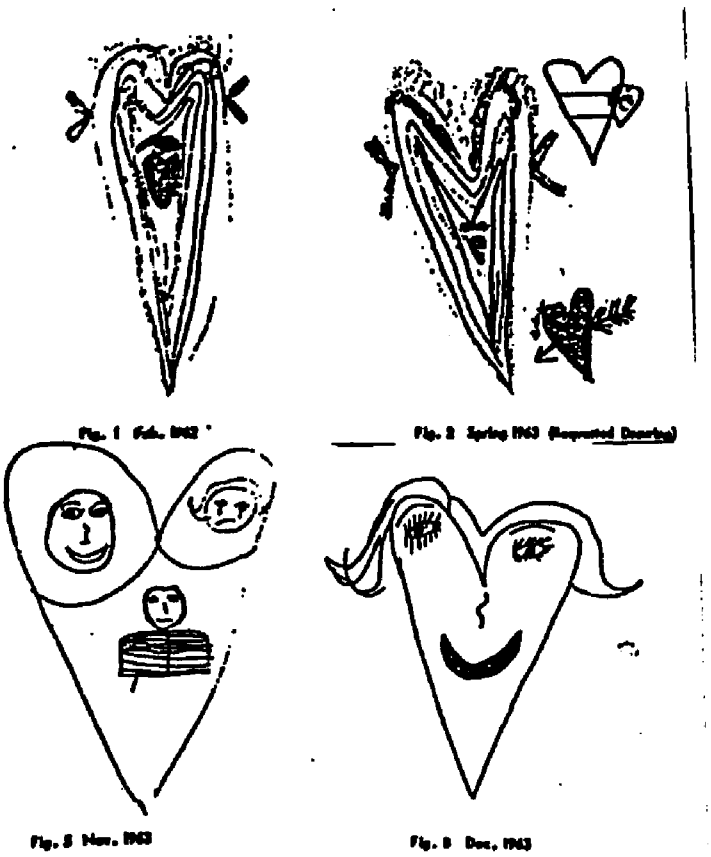


Figure 31 Drawings of a normal child, beginning at 4 years of age. Figures 1. and 2. are examples of the heart=vagina equation. Note the heart with an arrow through it, suggesting the underlying meaning of this traditional motif: phallic penetration of the vagina! Other motif's are: Heart=head (figure 8), with echoes of animal horns and heart=breast (Figure 5). Poignantly, Figure 5 depicts President Kennedy's flag-draped coffin. The resurrective motif, the heart as head, and the happy and sad faces balancing each other-all upon the death of a "father figure" - echo the myth of psychostasia.

Note. From "Development of Artistic Stylization: A Two-Year Evolution in the Drawings of a Normal Child" by Jose Barchilon, Psychoanalytic Study of the Child 1964, 19, 256-274. Copyright 1964 International Universities Press. Reprinted by permission of the copyright owner.



Figure 32 Midsummer Wall, 1966, by Jim Dine. A lithograph by a well-known contemporary American artist that juxtaposes the heart with elements and themes mentioned in the dissertation.

Note. Midsummer Wall by Jim Dine, 1966. (C) Whitney Museum of Art Collection of the Whitney Museum of Art Gift of Mr. and Mrs. Herbert C. Lee Photograph by Geoffrey Clements

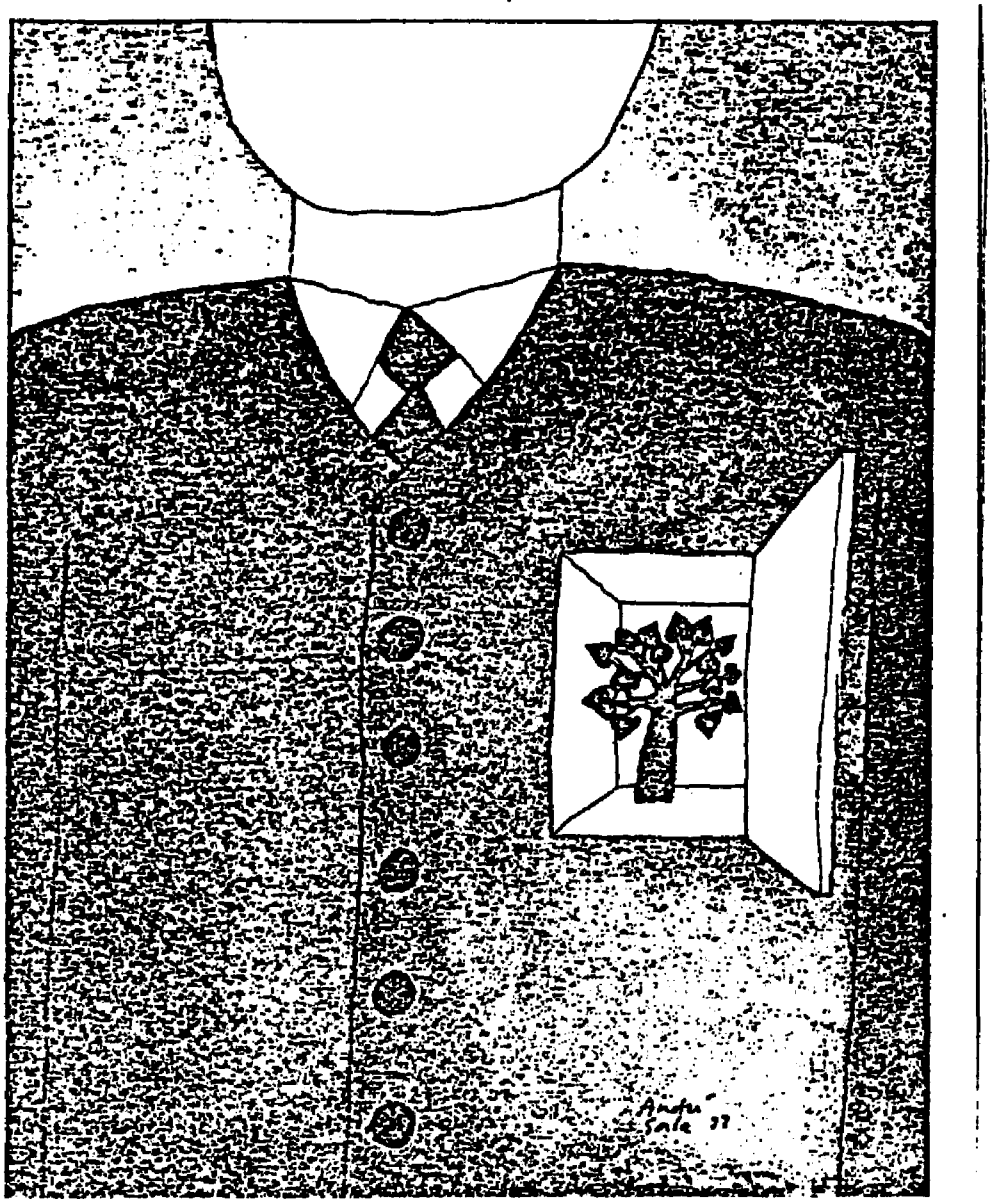


Figure 33 A contemporary greeting card. An excellent illustration of the heart=fruit (or leaf) equation. Beneath this conscious symbolism, the heart=phallus or heart=glans penis equation is suggested. Regardless, the heart compared to a form of vegetation is common. Note that the hearts in this drawing are red in color.

Note. From card entitled "Take Heart" Illustration by Andre Sala, 60 THO13 Portal Publications Ltd. Corte Madera, California. Reprinted by permission of the copyright owner.

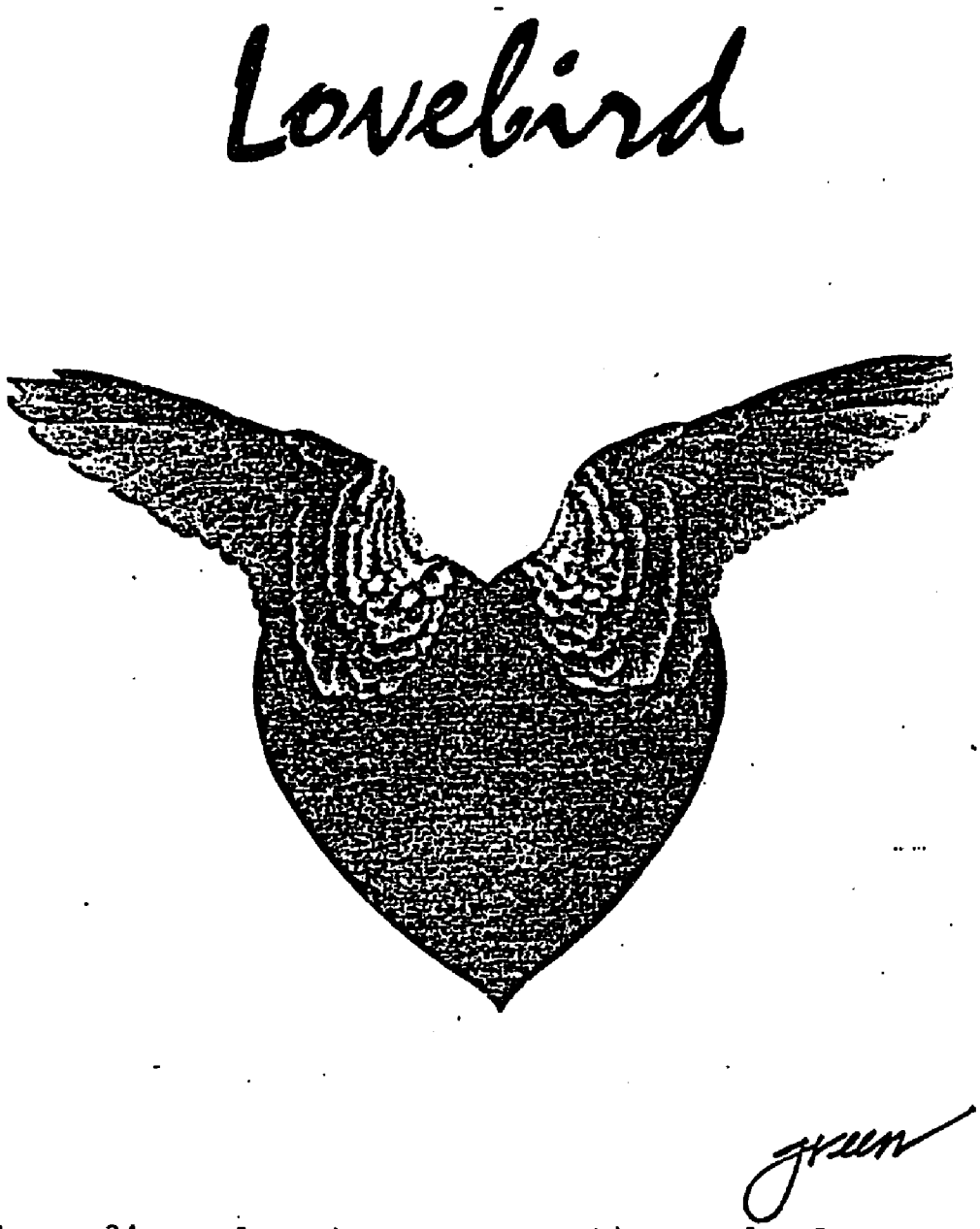


Figure 34 A contemporary greeting card. A beautiful example of the heart=bird equation, which has been popular through history. Beneath this conscious equation lies the unconscious one of heart=breast.

Note. From Greeting card No. 75CP31 by Metagraphics, Inc. (C) 1977 Dennis Green, Reproduced with permission of the copyright owner.

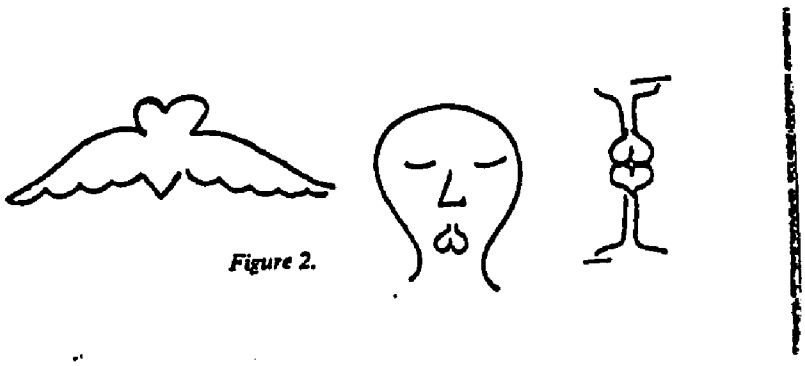


Figure 35 Examples of the type of incised decoration on the gravestones in New England from the 17th century, and later, in Puritan times. The winged heart was a symbol for the spirit, an example of the heart=bird equation. Other motifs were the heart as mouth, a variation on the frequent oral motifs in which the heart becomes involved, that are related to the heart as breast; and the heart as hour-glass, a particularly fitting engraving for a headstone.

Note. From "The Heart of America" by E. Eff. The Clarion: America's Folk Art Magazine, Summer, 1978, pp. 17-35. Copyright The Museum of American Folk Art Reproduced with permission.

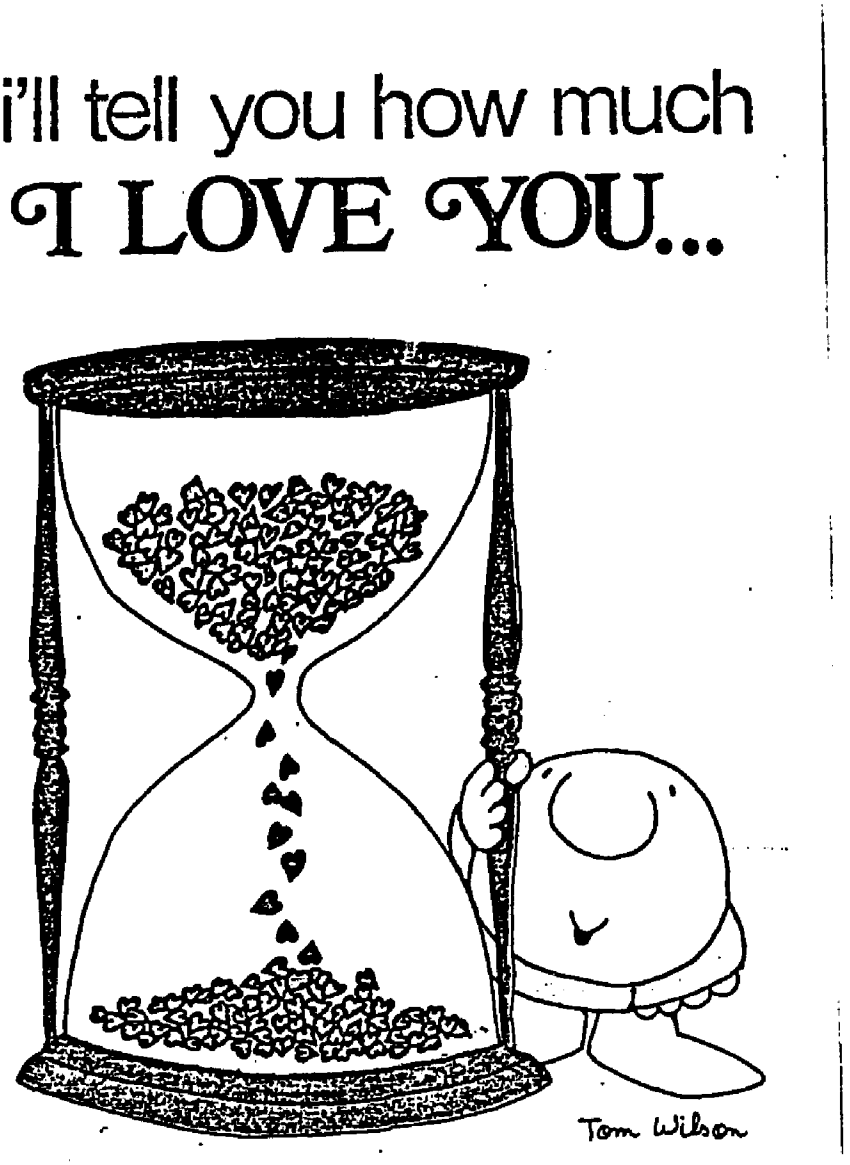


Figure 36 A contemporary greeting card in which the heart=hour-glass equation appears, although in an unusual variation. The grains of sand are red heart shapes.

Note. Copyright 1977, Universal Press Syndicat. Reprinted with permission. All rights reserved. ZIGGY. TM

Also reprinted with permission of American Greeting for use of text.

References

Abraham, K. Dreams and myths, a study in race psychology (W. A. White, trans.). New York: The Journal of Nervous and Mental Disease Publishing Co., 1913. (Originally published in German, 1909.)

Almansi, R. J. Ego-psychological implications of a religious symbol: A cultural and experimental study. The Psychoanalytic Study of Society, 1964, 3, 39 - 70.

Allen, V. W. Winged skull and weeping willow. In J. T. Ericson (Ed.) Folk art in America. New York: Mayflower Books, 1979.

Alston, W. P. Sign and symbol. In The encyclopedia of philosophy (Volume 7). New York: Macmillan Publishing Co. and Free Press, 1967, pp. 437 - 441.

Anton, F. Ancient Mexican art. Putnam's: New York, 1969.

Appleton, L. H. and Bridges, S. Symbolism in liturgy. New York: Scribner's, 1959.

Arlow, J. A. Identification mechanisms in coronary occlusion. Psychosomatic Medicine, 1945, 7, 195-209.

Barchilon, J. Development of artistic stylization: A two-year evolution in the drawings of a normal child. Psychoanalytic Study of the Child, 1964, 19, 256-274.

Bayley, H. The lost language of symbolism. New York: Barnes and Noble, 1951.

Bianchi, R. S. Egyptian treasures from the collection of the Brooklyn museum. New York: Abrams, 1978.

Boardman, J., Dorig, J. Fuchs, W. and Hirmer, M. Greek art and architecture. New York: Abrams, n.d.

Bradford, C. A. Heart burial. London: George Allen and Unwin, 1933.

Bradley, N. Notes on theory making, on scotoma of the nipples and on the bee as nipple. International Journal of Psychoanalysis, 1973, 54, 301-31.

Brandon, S. G. F. The judgment of the dead: The idea of life after death in the major religions. New York: Scribner's, 1967.

The weighing of the soul. In J. M. Kitagawa and C. H. Long (Eds.), Myths and symbols in honor of Mircea Eliade. Chicago: The University of Chicago, 1969.

Breuill, A. Four hundred centuries of cave art. Montignac, Dodorgne, France: Centre D'Etudes de Documentation Pre Historique, n.d.

Budge, E. A. W. The book of the dead: The papyrus of Ani. New York: Dover, 1967.

The Gods of the Egyptians or studies in Egyptian mythology. Vols. 1 and 2. New York: Dover, 1969.

Cassirer, E. An essay on man, New Haven: Yale University Press, 1944.

Cook, A. B. Zeus: A study of ancient religion. Vol. 2. Cambridge: Cambridge University Press, 1925.

D'Alviella, G. The migration of symbols. New York: University Books, 1956.

Delort, R. Life in the Middle Ages. (R. Allen, trans.) New York: Edita Laussanne and Universe Books, 1973.

Dodds, E. R. The Greeks and the irrational. Berkeley: University of California Press, 1951.

Eff, E. Folk art: The heart of America. The Clarion (Museum of American Folk Art). Summer, 1978, pp. 17-35.

Eibl-Ebesfeldt, I. Love and hate, the natural history of behavior patterns. New York: Holt, Rinehart and Winston, 1972.

Engel, G. L. Sudden and rapid death during psychological stress: Folklore or folk wisdom? Annual of Internal Medicine, 1971, 74, 771-182.

Eisenbud, J. The hand and the breast with special reference to obsessional neurosis. Psychoanalytic Quarterly, 1965, 34, 219-248.

The world of Ted Serios. New York: William Morrow, 1967.

Fenichel, O. The psychoanalytic theory of neurosis. New York: Norton, 1945.

Ferenzi, S. The ontogenesis of symbols. In Contributions to psycho-analysis (E. Jones, trans). Boston: Richard Badger, 1916, pp. 233 - 239 (Originally published in German, 1913.)

Fisher, C. Dreams, images, and perception: A study of unconscious-preconscious relationships. Journal of the American Psychoanalytic Association, 1956, 4, 5 - 48.

A study of the preliminary stages of the construction of dreams, Journal of the American Psychoanalytic Association, 1957, 5, 5 - 60.

Fisher, C., Kahn, E., Edwards, A., and Davis, D. M. A psychophysical study of nightmares and night terror. I. Physiological aspects of the Stage 4 night terror. Journal of Nervous and Mental Disease, 1973, 157, 75-98.

Ford, J. 'Tis pity she's a whore. (N. W. Bawcutt, Ed.) Lincoln: University of Nebraska Press, 1966.

Fowler, W. W. The Roman festivals of the period of the Republic. London: MacMillan, 1925.

Fox, H. M., Rizzo, N.D., and Gifford, S. Psychological observations of patients undergoing mitral surgery. Psychosomatic Medicine, 1954, 16, 186-108.

Freud, A. Personal communication, February 5, 1976.

Freud, S. The interpretation of dreams (Vol. 4 and 5). (J. Strachey, Ed. and trans.) Standard edition. London: Hogarth Press, 1953.

Introductory lectures on psychoanalysis (Vol. 15). (J. Strachey, Ed. and trans.) Standard edition. London: Hogarth Press, 1963.

Jensen's 'Gradiva.' Standard edition (Vol. 9). (J. Strachey, Ed. and trans. London: Hogarth Press, 1959.

Leonardo da Vinci and a memory of his childhood. Standard edition (Volume 11). London: Hogarth Press, 1957.

Fromm, E. The forgotten language, an introduction to the understanding of dreams, fairy tales and myths. New York: 1952.

Glover, E. The therapeutic effect of inexact interpretation: A contribution to the theory of suggestion. In Technigues of psychoanalysis. New York: International Universities Press, 1955, pp. 353-366.

Grasse, P. O. Animal portraits New York: Larousse, 1977.

Graves, R. The Greek myths (2 Vols.) Baltimore: Penquin Books, 1955.

Griffiths, J. G. (Ed.) Plutarch's De Iside et Osiride. Cardiff: University of Wales, 1970.

Hall, C. S. The meaning of dreams. New York: Harper, 1953.

Slang and dream symbols. Psychoanalytic Review, 1964, 51, 38 - 48.

Hall, C. S. & Nordby, V. J. The individual and his dreams. New York: New American Library, 1972.

Hall, J. W. A case of night terror. Psychoanalytic Study of the Child, 1947, 2, 189-227.

Harnik, E. J. Pleasure in disguise, the need for decoration and the sense of beauty, Psychoanalytic Quarterly, 1932, 1, 216-264.

Harrison, J. E. Prolegomena to the study of Greek religion. Cambridge: Cambridge University Press, 1903.

Herodotus. The Persian wars. (G. Rawlinson, trans.). New York, Random House, 1942.

Higgins, R. Minoan and Mycenean art. New York: Oxford University Press, 1967.

Hitchcock, A. (Producer and director) The birds. Los Angeles: Universal Studios, 1963.

Holy Bible containing the Old and New Testaments (authorized King James version). New York: Oxford University Press, 19

Hull, J. Case presentation at psychology internship seminar. Nassau County Medical Center, 1982.

Jacobi, J. Complex, archetype, symbol in the psychology of C.G. Jung. (R. Manheim, trans.) New York: Princeton University Press, 1971.

James, E. O. Prehistoric religion: A study in prehistoric archeology. London: Thames and Hudson, 1957.

Sacrifice and sacrament. New York: Barnes and Noble, 1962.

Jones, E. The life and work of Sigmund Freud (Vol. 2). New York: Basic Books, 1955

The theory of symbolism. In Collected papers Boston: Beacon Press, 1961. (Originally published, 1916.)

Jung, C. G. The psychology of the child archetype. (R. F. C. Hull, trans.) In Collected works of C. G. Jung. Vol. 9(1), New York: Princeton University Press, 1967.

Symbols and interpretations of dreams. (R. F. C. Hull, trans.) In Collected works of C. G. Jung. Vol. 9 (1). Princeton University Press.

The Tavistock lectures (R. F. C. Hull, trans.) In Collected Works of C. G. Jung, Vol. 18. New York: Princeton University Press, 1975.

Kallir, A. Sign and design: The psychogenetic source of the alphabet. London: James Clarke, 1961.

Keats, J. Letter of April 21, 1819. In D. Bush (Ed.) Selected poems and letters of John Keats. Boston and Cambridge: Houghton Mifflin and The Riverside Press, 1959.

Keimer, L. Interpretation de quelques passages d'Horapollon. Supplement aux Annales du Service des Antiquities, Cahier No. 5. Cairo, Egypt, 1947.

Kerenyi, C. Dionysos: Archetypal image of indestructible life. (R. Manheim, trans.) Princeton: Princeton University, 1976.

Klein, M. Infant analysis. In Contributions to psychoanalysis. London: Hogarth Press, 1948. (Originally published, 1923.)

The importance of symbol formation in the development of the ego. In Contributions to psychoanalysis. London: Hogath Press, 1948. (Originally published, 1930.)

Koch, A. The book of signs. New York: Dover, 1955.

Kramer, E. Art as therapy with children. New York: Schocken Books, 1970.

Kroeber, A. B. Symbolism of the Arapaho Indians. Bulletin of the American Museum of Natural History, 1900, 13, Article 7, pp. 69-86.

Kubie, L. Body symbolization and the development of language, Psychoanalytic Quarterly, 1934, 3, 430 - 444.

The distortion of the symbolic process in neurosis and psychosis. Journal of the American Psychoanalytic Association, 1953, 1, 59 - 86.

Kuhn, H. The Rock Pictures of Europe Fairlawn, N.J.: Essential Books, 1956.

La Barre, W. They shall take up serpents: Psychology of the Southern snake-handling cult. New York: Schocken, 1969.

Laing, R. D. Self and others. Baltimore: Pelican Books, 1971.

Lang, D. M. The Slavs. In R. Cavendish (Ed.) Mythology, an illustrated history. New York: Rizzoli International, 1980.

Langer, S. Philosophy in a new key, a study in the symbolism of reason, rite and art. Cambridge, Mass.: Harvard University Press, 1980. (Originally published, 1941)

Lawton, G. Straight to the Heart. New York: International Universities Press, 1956.

Liebowitz, J. O. The history of coronary heart disease. Berkeley: University of California Press, 1970.

Mallery, G. Picture writing of the American Indians. New York: Dover, 1972.

Mann, E. The last year of Thomas Mann. New York: Farrar, Straus and Cudahy, 1958.

Marschack, A. The roots of civilization. New York: McGraw-Hill, 1972.

Personal communication, November 20, 1982.

Masters, V. H. and Johnson, V. E. Human sexual response. Boston: Little Brown, 1966.

Meier, C. A. Jung and analytical psychology. Newton Centre, Mass.: Andover Newton Theological School, 1959.

Mellinkoff, R. The horned Moses in medieval art and thought. Berkeley: University of California Press, 1970.

Miller, M. L and McLean, H. V. The status of the emotions in palpitation and extrasystoles with a note on the "effort syndrome." Psychoanalytic Quarterly, 1941, 10, 545-560.

Milner, M. Aspects of symbolism in comprehension of the not-self, International Journal of Psychoanalysis, 1952,33, 181 - 195.

Morris, C. Foundation of the theory of signs. International Encyclopedia of Unified Science, Volume 1(2). Chicago:University of Chicago, 1938.

Myers, B. S. The German Expressionists. New York: Praeger, 1957.

Neumann, E. The great mother. (R. Manheim, trans.) New

Jersey: Princeton University Press, 1972.

Niederland, W., Some ontogenetic determinants in symbol formation. Psychoanalytic Study of Society, 1961, 3, 98 -110.

Nunberg, H. Problems of bisexuality as reflected in circumcision. London: Imago Publishing, 1949.

Otto, W. F. Dionyus, myth and cult. Bloomington: Indiana University Press, 1965.

Pericot-Garcia, L., Galloway, J., and Lommel, A. Prehistoric and primitive art. New York: Harry Abrams, 1967.

Piaget, J. Play, dreams and imitation in childhood (Translated by C. Gallegno and P. M. Hodgson) New York: W. W. Norton, 1962. (Originally published as La Formation du Symbole)

Piaget's Theory. In The process of child development. (P. Neubauer, Ed.) New York: New American Library, 1976.

Pierce, C. Elements of logic. In Collected papers of Charles S. Pierce, Vol. 2. Cambridge, Mass: Harvard University Press, 1965.

Plutarch, De Iside et Osiride (J. G. Griffiths, ed.) Wales: University of Wales Press, 1956.

Poole, V. Thursday's child. New York: Fawcett Popular Library, 1980.

Raphael, M. Prehistoric pottery and civilization. (N. Gutterman, trans.) New Jersey: Princeton University Press, 1947.

Reichbart, R. Heart symbolism: Heart-breast and heart-penis equations. Psychoanalytic Review, 1981, 68, 75-104.

Routine neonatal circumcision: Some additional psychological considerations. Unpublished paper, 1979.

Rodrique, E. Notes on symbolism. International Journal of Psychoanalysis, 1956, 37, 147 - 159.

Roffenstein, G. Experiments on symbolization in dreams. In D. Rapaport (Ed.) Organization and pathology of thought. New York: Columbia University Press, 1951, pp. 249 - 256.

Rorschach, H. Zum thema: Uhr and zeit in leben der neurotiker. Zentralblatt fur Psychoanalyse, 1912, 2, pp. 606-608.

Rycroft, C. Symbolism and its relationship to the primary and secondary process. International Journal of Psychoanalysis, 1956, 37(2), 137 - 170.

Sachs, H. Freud: Master and friend. London: London Imago Publishing, 1945.

de Saussure, F. Course in general linguistics (C. Bally and A. Sechehaye, Eds; W. Bashins, trans.), New York: McGraw Hill, 1966.

Schneck, J. A hypnoanalytic note on the heart as phallic symbol. Journal of Nervous and Mental Disease, 1958, 126, 401-401.

Schneider, D. E. The image of the heart. New York: International Universities Press, 1956

Dream flying and dream weightlessness. Journal of Hillside Hospital, 1960, 9, 171 - 181.

Schroetter, K. Experimental dreams. In D. Rapaport (Ed.) Organization and pathology of thought. New York: Columbia University Press, 1951, pp. 234 -247.

Schur, M. Freud: Living and dying. New York: International Universities Press, 1972.

Seager, R.B. Excavation on the island of Pseira, Crete. Philadelphia: University of Pennsylvania, 1910.

Segal, H. Notes on symbol formation. International Journal of Psychoanalysis, 38(6), 391 - 399, 1957.

Segal, N. The psychoanalytic theory of the symbolic process, Journal of the American Psychoanalytic Association, 1961,9(1), 146 - 157.

Sieber, R. and Rubin, A: Sculpture of Black Africa: The Paul Tishman collection. Los Angeles: Los Angeles County Museum of Art, 1968.

Silberer, H. Report on a method of eliciting and observing certain symbolic hallucination phenomena. In D. Rapaport(Ed.) Organization and pathology of thought. New York:Columbia University Press, 1951, pp. 195 - 207.

Spearing, H. G.: The Childhood of art or the ascent of man (2 vols.). London: Ernest Benn, 1930.

Spinden, H. J. A study of Maya art, its subject matter and historical development. New York: Dover, 1975.

Strachey, J. Preface to "The interpretation of dreams." In S. Freud, Standard edition, Vol. 4. London: Hogarth Press, 1953.

Sullivan, H. S. The interpersonal theory of psychiatry. (H. S. Perry and M. L. Garvel, Eds.) New York: W. W. Norton, 1953.

Thass-Thienemann, T. The subconscious language. New York: Washington Square Press, 1967.

Symbolic behavior. New York: Washington Square Press, 1968.

Vazquez, P. R. Mexico (B. Trueblood, Ed.) New York: Harry N. Abrams, 1968.

Veszy-Wagner, L. The symbolism of the bird. American Imago, 1973, 30, 97-112.

von Hagen, V. W. The ancient sun kingdoms of the Americas. New York: World Publishing Company, 1961.

Walsh, W. S. Curiousities of popular customs and of rites, ceremonies, observances and miscellaneous antiquities. Philadelphia: J. P. Lippincott, 1925.

Weiss, E. Sigmund Freud as a consultant. New York: International Medical Book Co., 1970.

Wellmann, M. Aegitisches. Hermes, 1896, 31, 221-153.

Wilkinson, C. K. An Achaemenian bronze head. The Metropolitan Museum of Art Bulletin, 1956, 15, 72- 78.

Willet, F. African art New York and Toronto: Oxford University Press, 1971.

Winnicott, D.W. Ego distinctions in terms of True and False Self. In The maturational process and the faciltating environment. New York: International Universities Press, 1965.

Autobiographical Statement

Richard Reichbart is a graduate of Yale College and Yale Law School who, prior to his change of profession, worked as an attorney in Arizona and Colorado, particularly with American Indians. He received his M.A. degree in psychology from the University of Northern Colorado in 1978. He has published numerous journal articles in anthropology, parapsychology, and psychoanalysis. He resides in New York City.