

# Morgoth: The Archetype of Evil in The Silmarillion

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# **- Morgoth - The Archetype of Evil in The Silmarillion**

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## Introduction

Last of all is set the name of Melkor, He who arises in Might. But that name he has forfeited; and the Noldor, who among the Elves suffered most from his malice, will not utter it, and they name him Morgoth, the Dark Enemy of the World. [...] From splendour he fell through arrogance to contempt for all things save himself, a spirit wasteful and pitiless. Understanding he turned to subtlety in perverting to his own will all that he would use, until he became a liar without shame. He began with the desire of Light, but when he could not possess it for himself alone, he descended through fire and wrath into great burning, down into Darkness. And darkness he used most in his evil works upon Arda, and filled it with fear for all living things.<sup>1</sup>

The literary character of Morgoth, the main antagonist of *The Silmarillion*, is truly a major figure in the work and imaginary world of the English author J. R. R. Tolkien. Best known for *The Hobbit* and *The Lord of the Rings*, respectively published in 1937 and 1954, Tolkien is mainly known as an author of fantasy. Indeed, his major works can be set as the foundations of the genre we know today. Tolkien was, more than an author, a professor in medieval literature and in philology, traits which were coupled with a knowledge of more than ten different languages as well as a passion for poetry and drawing. Indeed, the history and the world of Middle-earth, where the stories of his two best known books are set, was at first made in order to give context to the languages Tolkien first invented: the Quenya and the Sindarin, the languages of the elves. Later, to these languages were added others such as the language of the horsemen of Rohan or the Black Speech of Mordor which are also part of the linguistic diversity and background that can be found in Tolkien's work.

This is in *The Silmarillion*, paragon of the fantasy novel and published after the death of Tolkien by his son Christopher in 1977, that the historical context given to these languages is to be found. Indeed, *The Silmarillion* is an account of the Elder Days, as they are named. That is to say the first days of the world and the events of the First Age and, resumed, of the Second Age which happen far before the events found in *The Hobbit* and in *The Lord of the Rings*. It is a common answer, when asked about the main villain in the work of Tolkien, to name Sauron, the antagonist in *The Lord of the Rings*. Indeed, Sauron is truly a major evil in the fictive world imagined by Tolkien but, as we will see, he is not the most evil. As it is said

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<sup>1</sup> J.R.R. Tolkien, *The Silmarillion*. Ed. By Christopher Tolkien, London: George Allen & Unwin, 1977. p. 31. A summary of *The Silmarillion* can be found in the appendix of this study.

in *The Silmarillion*, Sauron was first a spirit of good but soon he was corrupted by the one who arises in Might: Melkor the Morgoth. Morgoth is the main antagonist of *The Silmarillion* for he is the main enemy of the Elves and the other free people in the First Age and also for he is the first and the source of all evil in the World, even after his fall. Following this point, our study will be concerned with the analysis of the character of Morgoth as an archetype of evil in Tolkien's work *The Silmarillion*.

According to the Oxford Dictionary, an archetype is a very typical example of a certain person or thing. In literature, it is said to refer to a recurrent symbol or motif<sup>2</sup>. Plus, the notion of evil is defined as something profoundly immoral and wicked by the same dictionary, as something harmful or tending to harm<sup>3</sup>. Hence, following these definitions of the major terms of our study, we can rephrase our subject by the analysis of the character of Morgoth as a very typical example of evil in *The Silmarillion*.

Therefore, we can ask ourselves what are the elements, the notions, the theories applicable or found in the tale of the Elder Days which can set Melkor the Morgoth as an archetype of evil in *The Silmarillion* by J. R. R. Tolkien.

In order to answer this question, we will study the different influences of the author when writing the character of Morgoth as well as the literary genre he is part of. Hence, our study is based on the analysis and the comparison of Tolkien's work to religious, fantasy genre and linguistic theories and texts.

The objective of this study is to show the correlation between Morgoth and pre-existing archetypes of evil and notions, elements which can be named as part of evil themselves.

In order to establish Morgoth as an archetype of evil in *The Silmarillion*, we will study the character with three different approaches. In the first instance, we will study the religious approach of the notion of evil (I). Following the evolution of the character of Morgoth, we will study the Christian influences of the character which can be found in *The Silmarillion* (1). Hence, this is through a comparison with the character of Lucifer that we will analyse the Past Glory of Morgoth, as well as his Rebellion and his Fall. Next, we will study the character of Morgoth through the Manichean approach of good against evil (2), first with an analysis of the story of *The Silmarillion* according to the Manichean philosophy as well as an analysis of the character of Morgoth itself, in second, as inscribed in this philosophy. Our third point in

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2 "archetype". *Online Oxford Dictionary*. Oxford University Press. 2019.

3 "evil". *Online Oxford Dictionary*. Oxford University Press. 2019.

the religious approach will be concerned with a critic of the Manichean approach of good against evil (3) which will enable us to study the character of Morgoth through the theories of Saint Augustine of Hippo and then of Gottfried Wilhelm Leibniz.

In the second part, we will study the structural literary approach of the character of Morgoth (II). First of all we will analyse the character of Morgoth through the literary genre he is part of : the fantasy genre (1). A first part which will be composed of an analysis of the character of Morgoth, of his creations and of his actions according to the standards of the genre of fantasy. Then, he will study the character of Morgoth in the folktale thanks to the formalist approach of Vladimir Propp (2). In this part we will study, according to the theory of Propp, the functionality of Morgoth in the folktale as well as the character itself in the folktale. This subpart will be concluded with an analysis of a sequence of *The Silmarillion* following Propp's analysis of the folktale. Our third subpart will be concerned with a semiotic analysis of the character of Morgoth (3) with a study of the linguistic views of the signs of evil followed by a study of the signs of evil in *The Silmarillion* and their significance.

The last part of our study of the character of Morgoth will be concerned with the discourse analysis of Morgoth (III). In this part, we will study the speech acts of Morgoth (1) thanks to the socio-linguistic theories of Austin about the locutionary, illocutionary and perlocutionary acts in the discourse as well as the theory of Searle's classification of the five types of illocutionary act. At last, our analysis of the discourse of Morgoth will be ended with a study of theories of Face Threatening and Politeness which can be found in Morgoth's discourse (2). In this last subpart, we will study the theory of Face and Politeness, then of Face threatening acts and finally of Advice-giving as Face threatening acts, all as part of the discourse of Morgoth.

## I. Religious Approach of evil

Actually I am a Christian, and indeed a Roman Catholic, so that I do not expect 'history' to be anything but a 'long defeat' - though it contains (and in a legend may contain more clearly and movingly) some samples or glimpses of final victory<sup>4</sup>.

Tolkien once wrote to a fan that history as a notion in the Christian culture he is part of is nothing but a long defeat sprinkled with the outlooks of a final victory. This vision of the world is not only the structure of mankind's history from the Christian point of view but also the structure of the history of Arda<sup>5</sup> in *The Silmarillion*. The history of Arda has been, since its very outset, a very long struggle between the forces of Melkor and the rest of its inhabitants, being gods, Elves or mortals. We see then that the very core of the mythology of *The Silmarillion*, its foundations, is bound to Christianity and its same interpretation of history. Hence, this is through the prism of Christianity that we can first study the character of Melkor as an archetype of evil.

### 1. *Christian Influences of Morgoth*

The obvious association we make when we compare *The Bible* and *The Silmarillion* concerning the character of Melkor as an archetype of evil is to connect him to the character of Lucifer, being himself the archetype of evil in Christianity. This is through Lucifer that we can establish Melkor as an archetype of evil, for the character of Tolkien was much inspired by the Fallen Angel in his writing process. As a matter of fact, the two antagonists share a related backstory and common traits such as connected names or similar deeds which can be collated in their three acts story: their past Glory, their Rebellion and their Fall.

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4 Tolkien, J.R.R. *The Letters of J.R.R. Tolkien*. Great Britain : George Allen & Unwin, 1981. Letter #195.

5 Arda is the name of the Earth, created by Eru Ilúvatar and it means "The Realm".



## 1. *Their Past Glory*

Whether in *The Bible* or in *The Silmarillion*, Lucifer and Melkor are brought to life by a supreme being, a monotheistic entity called God for the first one and Eru Ilúvatar<sup>6</sup> for the second. It is important to note that in the mind of Tolkien God and Ilúvatar are the same entity though the last one is fictional and the first set in an actual religion. They were created at the very beginning of all things and both were given great splendour and power. When comparing the stories and traits of the two characters, we see some correlations. First of all, the two angelic figures share in their name a common meaning. On the one hand, the first form of the name of the biblical angel can be found in the Hebraic language with the use of *Helel*, derived from *Halal*, in the Old Testament translated literally to “to shine, to radiate” which was later translated in Septuagint, the earliest Greek translation of Hebrew, to *eosphoros* which is composed of *eos*, name of the goddess of the dawn in Greek mythology, and of the verb *phoreo* meaning “to bear constantly, to wear”. The name Lucifer comes from the Latin translation of the Greek and Hebrew ones and is composed of *lux* “light” and *ferre* “to carry, to bear” and literally means “light-bringing” which was translated in old English by “the light bringer” or more commonly by “the morning star”<sup>7</sup>.

On the other hand, the name of Melkor originally comes from the Quenya<sup>8</sup> language and literally means “He who arises in Might”. We find another form of the name in the Sindarin<sup>9</sup> tongue with Belegûr which sets its root in *Beleg* meaning “mighty”. The name of Melkor in Valinorean, the language of Valinor<sup>10</sup>, is not known for the Valar are spiritual beings, as we will shortly see, that did not need spoken language, furthermore it was Quenya that was chosen as the language of their kingdom. When we bring together the meanings of their names, we see that they both express this sense of might, this resurgence of the theme of power, either as the morning star, the holy light or as a power of knowledge and wisdom, given by their creator through their very own names. Thus Lucifer holds the name of one

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6 *Eru* meaning “The One”, “He that is Alone” and *Ilúvatar* from Quenya “all-father”. Literally God according to Tolkien in *The Letters of J.R.R. Tolkien*, letter #156. p. 205.

7 “Lucifer”. *Online Etymology Dictionary*. Douglas Harper. 2001-2019.

8 The language of the Eldar of Valinor, presumably the closest language to that spoken in the very first dwelling place of the elvish race that is Cuiviénen by the first Elves who were called the Quendi.

9 The language of the Sindar, the Telerin Elves who did not go into Valinor. It shares elements with Quenya since it comes from the same origin but evolved differently in Middle-earth.

10 The land of the Valar in Aman.

capable of bearing the dawn, the name of the bringer of the light and Melkor owns the name that rises in might, the name of the one that surpasses his kin in power and knowledge and they were both given a place of honour among their kin.

Secondly, the two entities share common characteristics as a kind of being, either angels for Lucifer or Ainur for Melkor. Lucifer is an angel of God in the Christian faith and angels, literally “messenger, envoy, one that announces” in both Latin and Greek, were supposed to be spiritual beings, created by God during the seven days of the Creation to serve him as attendants for himself or messengers towards Men. Regarding Melkor we know that he was one of the Ainur that were created by Ilúvatar at the beginning of all things and before the creation of Arda:

There was Eru, The One, who in Arda is called Ilúvatar; and he made first the Ainur, The Holy Ones, that were the offspring of his thought, and they were with him before aught else was made.<sup>11</sup>

The word Ainur comes from Quenya and means “Holy Ones”: they were angelic spirits, children of the mind of Ilúvatar that he created for the purpose of his greater plan, the Ainulindalë. From Quenya “Ainu-song”, the Ainulindalë was an expression of the divine order in themes of music that was meant to lead to the creation of Eä<sup>12</sup>, then Arda and finally to the Children of Ilúvatar<sup>13</sup> and their doom. From this we can bring the origins of Lucifer and Melkor closer. The Morning Star was created by God during the process of the seven days of the Creation which can be linked to the Ainulindalë when Ilúvatar also brought to existence his Creation even though the Ainur were made before the Ainulindalë. The apparition of the angels is not told in *The Bible* but we can assume that they were created during the first days of the Creation or at the very least concerning Lucifer for we find in Genesis about the creation of the world:

God said, 'Let there be light', and there was light; and God saw that light was good, and he separated light from darkness. He called the light day, and the darkness night. So evening came and morning came, the first day.<sup>14</sup>

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11 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 15.

12 The World, the material Universe, includes Arda and the heavens.

13 Men and Elves.

14 *The New English Bible*. Great Britain: Oxford University Press, 1970. p. 1.

Here we can assume that the light and the morning that came is a reference to the Light-bringer, the Morning Star, and so that he had a part in the Creation. We find a clearer explanation of the presence of the angels during the Creation in Job 38:5 to 8 with God saying:

6. On what do its supporting pillars rest? Who set its corner-stone in place, 7. when the morning stars sang together and all the sons of God shouted aloud? 8. Who watched over the birth of the sea, [...] <sup>15</sup>

Here we see that the angels referred as “the morning stars” were already existing when God was forging the World and thus Melkor and Lucifer share a common origin for they both had a part in the Creation as Holy beings created by their god. Lucifer brought light during the Creation and Melkor had a part in the Ainulindalë: “[...] even as he was in the beginning the greatest of the Ainur that took part in the Music”<sup>16</sup>. Furthermore, their similarities concerning their creation and their role do not stop here for when we look at Job 38:7 we see the resemblance between the angels and the Ainur is exposed in this quote through the theme of music. Both Creations implied a Music where the children of God and of Ilúvatar had a part even though music owns a more important part in one story than in the other. Indeed in *The Silmarillion* the Music is what brings the Creation and it is sang by the Ainur while in *The Bible* the music, even though sang by the angels similar to the Ainur, is just a part of the Creation.

Thirdly, the angels, as we said, were spiritual beings created by God and there were many orders among them such as the cherub of which Lucifer is part of. Cherub literally means “winged angel” in both Latin and Greek and takes its root from Hebraic *kerubh* which is possibly related to the Akkadian<sup>17</sup> *Karubu* “to bless” and *Karibu* “the one who blesses”<sup>18</sup> and knowing the love of Tolkien for languages the Akkadian path is not to be left aside. Cherub were angels dedicated to attending on God himself and were placed as the second highest order among the angels of the Christian angelology. In the Old Testament, especially in Samuel 4:4 we are told “the Lord of Hosts (God), who is enthroned upon the cherubim”<sup>19</sup>,

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15 *The New English Bible, op. cit.* p. 1.

16 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 18.

17 The extinct language of Akkad, written in cuneiform, with two dialects, Assyrian and Babylonian, widely used from about 3500 BC. It is the oldest Semitic language for which records exist.

18 “Cherub”. *Online Etymology Dictionary*. Douglas Harper. 2001-2019.

19 *The New English Bible, op. cit.* p. 306.

in Psalms 18:10 and 80:1 God “rode on a cherub” and is “throned on the cherubim”<sup>20</sup> respectively. We can guess that the cherub, among all the angels, are given the role of attendants of God and bearer of his throne, a place that Lucifer holds. The Morning Star is suggested to be a particular cherub among his brothers which we see in Ezekiel 28:12 to 28:15 where he is given a place of honour by God:

12. You set the seal on perfection; full of wisdom you were and altogether beautiful. 13. You were in an Eden, a garden of God, adorned with gems of every kind: sardin and [...] green felspar. You jingling beads were of gold, and the spangles you wore were made for you on the day of your birth. 14 [...] you were on God's holy hill and you walked proudly among stones that flashed with fire. 15. You were blameless in all your ways from the day of your birth [...]<sup>21</sup>

Melkor knew a similar fate, for Tolkien was much inspired by the angel of dawn in the writing of his character. Of all the Ainur, Ilúvatar gave to Melkor more than any other, for “to Melkor among the Ainur had been given the greatest gifts of power and knowledge, and he had a share in all the gifts of his brethren.”<sup>22</sup>, he was the mightiest of them all who took part in the Music and when the vision of Ilúvatar<sup>23</sup> was shown to them he became the chief of those of the most mighty that wished to go in Arda and to order all things for the good of the Children of Ilúvatar:

[...] then many of the most mighty among them bent all their thought and their desire towards that place. And of these Melkor was the chief, even as he was in the beginning the greatest of the Ainur that took part in the Music.<sup>24</sup>

Those who later descended upon Arda were called the Valar, from Quenya *Vala* in the singular meaning “angelic power” and *Valar* in the plural meaning “those with power”, “The Powers”. They were a distinct order of Ainur compared to those who stayed with their creator and their aim was in the function of guarding and governing Arda in the name of Eru Ilúvatar and for the sake of his children. At first, Melkor was one of them.

Furthermore, we find in both Christianity and *The Silmarillion* this idea of orders among the angels: cherub were placed as second in the hierarchy of the angels as were the

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20 *The New English Bible*, *op. cit.* p. 621 and 681.

21 *Ibid.* p. 1040.

22 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 16.

23 The visual image of the Ainulindalë, made by Ilúvatar to show the Ainur the nature of their Music.

24 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 18.

Valar in *The Silmarillion*. These spiritual beings can be ordered from Ainur to Valar then Maiar (those of the lesser Ainur). Angels and Ainur are linked in their very nature for they both are holy powers exercising a similar role in the creation of their god and so were Melkor and Lucifer. Both entities share common traits of character for both had a place of honour in the mind of their father and both were given great might as we see through their names and role. Lucifer was given the role of cherub, second highest order among the angels of God, an attendant and bearer of the throne of his creator that brought him great power and wisdom and he was also set as the chief of the angels<sup>25</sup>. Melkor was also set to be the chief of the Ainur and of those that had a part in the Music and great knowledge and might was given to him and from this gifts that were given to both of them, they took great pride and executed brilliantly the holy deeds of their makers. But it was at the time of their glory, and even as they were in this state, dark thoughts came out of their pride.

## 2. *Their Rebellion*

Lucifer and Melkor, in their very own separate tales, were both powerful angelic figures that dwelt alongside their god and as we have seen they were given a particular role and status by these all-powerful entities. The second rapprochement we can find in the character of Lucifer concerning the one of Melkor is that from this power which was given to them they gained great pride but they also gained ambition that twisted their mind.

First of all, we find similarities between the two characters in the way their discord rose. Following the description of Lucifer as a cherub, we find in Ezekiel 28:15 to 17:

15. [...] from the day of your birth until your iniquity came to light. 16. your commerce grew so great, lawlessness filled your heart and you went wrong, [...] 17. Your beauty made you arrogant, you misused your wisdom to increase your dignity.<sup>26</sup>

Here we learn that it is because of the pride that Lucifer got from his position and power that his thoughts went wrong. This commerce that is quoted refers to the social interaction of Lucifer and more particularly to his relationship with the other angels for he was set above them as a cherub and as the light-bringer. It emphasized his pride and so his

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25 Fernand Comte, *Les grandes notions du christianisme*. Paris: Bordas, 1996. p.210.

26 *The New English Bible*, *op. cit.* p. 1040 and 1041.

arrogance. The might given to Lucifer as a cherub exposed him as an imperfect angel and he used the gifts of wisdom and power of his father for his own sake. Furthermore, we are told in Isaiah 14:13 to 14:

13. You thought in your own mind, I will scale the heavens; I will set my throne high above the stars of God, I will sit on the mountain where gods meet in the far recesses of the north. 14. I will rise high above the cloud-banks and make myself like the Most High.<sup>27</sup>

Now we learn the ambitious purpose of Lucifer that took shape from his disorder. The Morning Star in his pride claimed even more power up to surpass his brethren in Heaven: “I will set my throne high above the stars of God”<sup>28</sup> with these stars referring to the morning stars singing together in Job 38:7, his fellow angels. This pride changed in arrogance led him to claim the very throne of God himself instead of bearing it and take his place “and make myself like the Most High.”<sup>29</sup> and thus he made war upon Heaven for the throne of God. These elements we find also in the character of Melkor. In *The Silmarillion*, we find concerning the Ainu:

[...] it came into the heart of Melkor to interweave matters of his own imagining that were not in accord with the theme of Ilúvatar; for he sought therein to increase the power and glory of the part assigned to himself.<sup>30</sup>

This arrogance of Melkor towards Ilúvatar created a disorder in him which is comparable to the pride of Lucifer that led him to lawlessness, to anarchy, which made his thoughts wrong. This anarchy, this discord came from the arrogance of Melkor to eagerly covet the power of Creation of Ilúvatar and he ever sought it:

He had gone often alone into the void places seeking for the Imperishable Flame<sup>31</sup>; for desire grew hot within him to bring into Being things of his own, and it seemed to him that Ilúvatar took no thought for the Void, and he was impatient of its emptiness.<sup>32</sup>

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27 *The New English Bible*, *op. cit.* p. 827.

28 *Ibid.*

29 *Ibid.*

30 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 16.

31 The creating spirit of Ilúvatar, by which the Ainur and Eä were made, possessed by Ilúvatar alone.

32 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 16.

Strange thoughts he developed from his loneliness and his wandering in the Void<sup>33</sup> in search of the Flame of Creation: “But being alone he had begun to conceive thoughts of his own unlike those of his brethren.”<sup>34</sup> Of these wrongs thoughts he put them in his music that he interwove with the Music of Ilúvatar and it brought discord: “Some of these thoughts he now wove into his music, and straight away discord arose about him”<sup>35</sup>.

These are the first wrongs of Melkor that we can collate to the ones of Lucifer. We see that it is because of something that was not from Ilúvatar that Melkor developed iniquity as Lucifer did. This can be explained because of the imperfection that lies in all that is made by God. Indeed, in Christianity, God cannot create something that is as great and perfect as himself for he was the first of all to be. Therefore all that is created by God will necessarily own imperfection of some kind and this is through this weakness that evil appears and that the imperfection of the world is explained<sup>36</sup>. This idea of an imperfect World explains why evil appeared in the creation of both Ilúvatar and God and why the two fallen spirits marred the creation of their father, but of this reflection of the origin of evil we will talk later on.

Hence, the creations of God and Ilúvatar will obviously be imperfect and this imperfection was found and expended by the pride of Lucifer and Melkor. Both gained great pride and grew great arrogance for they coveted things that were not designed to them. Melkor wanted to bring things of his own imagination into being and not only things from the thoughts of Ilúvatar, he coveted the Flame Imperishable that is the Holy Spirit in Christianity. In *Tolkien et la religion*, Leo Carruthers explains that: “D'après Clyde Kilby, qui a passé l'été 1966 auprès de l'auteur, Tolkien a déclaré, au cours d'une conversation, que le Feu Secret, envoyé pour brûler au coeur du Monde à sa création, était l'Esprit Saint.”<sup>37</sup> This is this fire that Melkor coveted in order to bring life of his own in complete independence of Ilúvatar. Like Melkor, Lucifer in his pride tried to be sufficient to himself and claimed the union with God, refusing freely his dominion<sup>38</sup>. The issue of the great discord triggered by Melkor was the vision of Ilúvatar who unveiled to the Ainur the meaning of their song and the coming of the Children of Ilúvatar and from this Melkor made darker thoughts.

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33 The absence of Ilúvatar and the Flame Imperishable. Eä was set amidst the Void but was not in it.

34 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 16.

35 *Ibid.*

36 Fernand Comte, *Les grandes notions du christianisme*, *op. cit.* p. 154.

37 Carruthers, Leo. *Tolkien et la religion: comme une lampe invisible*. Paris: PUPS, DL 2016. p. 228.

38 Fernand Comte, *Les grandes notions du christianisme*, *op. cit.* p. 210.

But he desired rather to subdue to his will both Elves and Men, envying the gifts with which Ilúvatar promised to endow them; and he wished himself to have subjects and servants, and to be called Lord, and to be a master over other wills.<sup>39</sup>

Lucifer and Melkor share a common purpose in their discord for both wanted something that only their creator had. Lucifer wanted the throne of God himself, he wanted the power to rule over his kingdom. As for Melkor, he wanted the power of Creation for himself and to be a master of others, a power that only Ilúvatar held: “For he coveted Arda and all that was in it, desiring the kingship of Manwë and dominion over the realms of his peer.”<sup>40</sup> Even as they first were inclined to follow their creator and do good, the power they gained and the status they were given derived them from light to darkness and they both rebelled against their creator.

In *The Silmarillion*, we are told “He began with the desire of Light, but when he could not possess it for himself alone, he descended [...] down into Darkness.”<sup>41</sup> which can be applied to Lucifer as well for it well describes the rise of his arrogance. But the rebellion of Melkor and Lucifer took a different shape in each case. Lucifer, in his arrogance made war upon heaven and many other angels he had converted to his cause followed him as we are told in Matthew 25:42 “the devil and his angels”<sup>42</sup>. Lucifer's war ended where it began while on the part of Melkor, his rebellion starts in the domain of Ilúvatar with his music and ends in Arda. Like Lucifer he converted other Ainur to his music and his discord against the themes of Ilúvatar:

[...] many that sang nigh him grew despondent, and their thought was disturbed and their music faltered; but some began to attune their music to his rather than to the thought which they had at first. Then the discord of Melkor spread ever wider, and the melodies which had been heard before foundered in a sea of turbulent sound. But Ilúvatar sat and hearkened until it seemed that about his throne there was a raging storm, as of dark waters that made war one upon another in an endless wrath that would not be assuaged.<sup>43</sup>

We have seen before that the discord of Melkor was at first from his thoughts and his arrogant desire of creating things of his own. Even if with his music Melkor managed to match with the one of Ilúvatar he never overcame it. Thus the music of Melkor was ceased by

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39 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 18.

40 *Ibid.* p. 31.

41 *Ibid.*

42 *The New English Bible*, *op. cit.* p. 37.

43 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 16.



Ilúvatar himself and Melkor was brought down from his pride into shame: “and Melkor was filled with shame, of which came secret anger.<sup>44</sup>” This we can compare to the rebellion of Lucifer and the way it was ended: “I brought you down in disgrace from the mountain of God”<sup>45</sup>. In Ezekiel 28:16 we are told that it was God that ended the rebellion of Lucifer. In *the Silmarillion*, it is Ilúvatar who ended it and thus, we see that Lucifer and Melkor experienced the same feeling of shame, of disgrace due to their actions in Heaven for the first one and the Timeless Halls for the other.

Furthermore, both characters expressed in their rebellion their will of being master of others, of taking the place of their creator. More than with the Music Melkor wished to dominate Arda from the vision of Ilúvatar, and when permission came to descend upon it, Melkor was one of the first to do so. He then took part in everything that was done by his brethren Ainur that descended with him. This is where the two characters split from each other for the rebellion of Melkor lasted in Arda while the one of Lucifer ended in Heaven. Once Melkor and his brethren came upon Arda, the anger he had developed from his shaming in the Music was released and as he had a part in everything that was done, he twisted it to his own desires in his arrogance. He even went to declare himself King of Arda: “and he said to the other Valar: 'This shall be my own kingdom; and I name it unto myself!’<sup>46</sup>” But Melkor was confronted to the other Valar in his rebellion and like Lucifer Melkor lost his first war and fled in Darkness: “and Melkor fled [...] and forsook Arda, and there was peace for a long age.”<sup>47</sup>

Finally, Lucifer and Melkor share similarities in the way they fell from holiness. In *The Silmarillion*, we are told about Melkor:

From splendour he fell through arrogance to contempt for all things save himself, a spirit wasteful and pitiless. [...] He began with the desire of Light, but when he could not possess it for himself alone, he descended through fire and wrath into a great burning, down into Darkness.<sup>48</sup>

This metaphorical description of how Melkor fell can be collated to the description of Lucifer's fall from Heaven in Luke 10:18 “I watched how Satan fell, like lightning, out of the

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44 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 17.

45 *The New English Bible*, *op. cit.* p. 1040.

46 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 21.

47 *Ibid.* p. 35.

48 *Ibid.* p. 31.

sky.”<sup>49</sup> and in Isaiah 14:15, following the ambitions of Lucifer, “Yet you shall be brought down to Sheol, to the depths of the abyss.”<sup>50</sup> We see then that the fall of both characters is wrapped in destruction with flames for Melkor and lightning for Lucifer. In his rebellion the music of Melkor was tamed by Ilúvatar and he was put into shame by his father. We find a similar situation with Lucifer in Isaiah 14:11 “Your pride and all the music of your lutes have been brought down to Sheol;”<sup>51</sup>. Thus Melkor and Lucifer's rebellion, led by their arrogance, was ended and they both fell into Darkness and into evil deeds.

### 3. *Their Fall*

We have seen that Melkor and Lucifer shared common characteristics in their rebellion against their creator. These rebellions brought them into darkness and as well as in their time of glory and their rebellion both characters share common traits as evil entities.

First of all, both characters were given new names following their rebellion and their fall into darkness: Satan for Lucifer and Morgoth for Melkor. Satan is the name of the supreme evil spirit in Christianity and like Lucifer it comes from the Latin, Greek and Hebrew languages (the only variant being *Satanas* in Greek) and signifies “adversary, one who plots against another”, we also find the meaning “to show enmity to, to oppose, to plot against”. The root of the word referring to “one who opposes, obstructs, acts as an adversary”. The Septuagint form of the name is *diabolos* meaning “slanderer”, from “slander” meaning defamation, malicious or false statement, which was literally translated as “one who throws (something) across”. We find the same elements in the Greek form of devil *diaballein* with *dia* for “across” and *ballein* for “to throw” of which *diabolos* is an agent noun. The Greek form *epiboulos* meaning “plotter” can also be found<sup>52</sup>. Moreover, alongside the interpretation of the name Lucifer from Hebrew *halal* we can also find the interpretation of the word *yalal* meaning “to wail” which can be collated to the fact that the fallen angel was cast out of Heaven and ended in hell. We understand here that due to his rebellious deeds Lucifer was mainly characterised as a plotter and an adversary.

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49 *The New English Bible, op. cit.* p. 827.

50 *Ibid.*

51 *Ibid.*

52 “Satan”. *Online Etymology Dictionary*. Douglas Harper. 2001-2019.

Melkor did not get his new name directly from his rebellion but it is indeed because of it and because of the source of it, his jealousy and envy, that he was to be called thereafter Morgoth which is a name from Quenya and it was given to him by the Elf Fëanor after the Ainu did one of his most terrible deed. *Morgoth* literally means “dark enemy” with the prefix *mor* for “dark”, the full form being “Dark Enemy of the World” or “Black Foe of the World”. The epithet *Bauglir* was often following his name and comes from Sindarin for “the Constrainer” meaning “one who compel or force (someone) to follow a particular course of action.” We also find a play on the Sindarin form *Belegûr*; that we saw earlier, with *Belegurth* literally “Great Death” with *beleg* for “mighty” and *gurth* for “death”. The two evil beings share in these new names the same notion of hostility, of being the enemy of God and Ilúvatar and their Creation. Furthermore, Morgoth was given other names by the folks of Middle-earth such as “The Enemy”, “The Master of Lies” or “the Giver of freedom” by his most loyal servant or the “King of the World” by himself. In these names we find other resemblance with Satan: first of all both are characterised as owning enmity towards others, they are the Enemy, the Adversary. Also both are characterised as plotters first in their rebellion but also with the lies they use to tempt the creatures of God and Ilúvatar, we find in John 8:44 about the fallen angel: “44. [he] is not rooted in the truth; there is no truth in him. When he tells a lie he is speaking his own language, 45. for he is a liar and the father of lies.”<sup>53</sup>

Morgoth is called the Master of Lies by the first Men and indeed Satan is to be of the same kind for he is the father of lies. Furthermore Satan is described as the Prince of the world in *The Bible* in opposition to the kingdom of God, the Heaven. We find in John 14:30 Jesus talking about Satan: “for the Prince of this world approaches.”<sup>54</sup> Also in 1 John 5:19: “while the whole godless world lies in the power of the evil one.”<sup>55</sup> Here we learn that Satan rules over the earth and it is indeed to be compared with the supremacy of Morgoth over Middle-earth, calling himself King of the World, notably during the blight of Arda that plunged the earth into darkness and after his unchaining and the beginning of the Wars of Beleriand.

Their fall into darkness is well represented by their exclusion from the holy lands. Lucifer was cast out of Heaven due to his iniquity, but Heaven being a place of perfection God could not allow the devil and his followers to come back so he banished him from his

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53 *The New English Bible, op. cit.* p. 123. – the New Testament.

54 *Ibid.* p. 133. – the New Testament.

55 *Ibid.* p. 309. – the New Testament.

kingdom down to earth as it is said in Samuel 15:23: “Because you have rejected the word of the Lord, the Lord has rejected you as king.”<sup>56</sup> and in Ezekiel 28:16: “I brought you down in disgrace from the mountain of God, and the guardian cherub banished you from among the stones that flashed like fire.”<sup>57</sup> Here we learn that Lucifer was banished from among his brethren as well as from the place where they dwell. This is the same with Melkor: “Melkor is counted no longer among the Valar, and his name is not spoken upon Earth.”<sup>58</sup> Due to his malice, the darkening of his thoughts and his evil deeds Melkor was excluded by the other Valar from their kingdom first on the Isle of Almaren and then in Aman and is no longer counted as one of them any more.

In addition to this ban, Melkor was also excluded from the Heaven where Ilúvatar dwells but it was by choice for the Ainur were permitted to descend into Arda with the condition that their power should be contained and bounded to the World and “to be within it for ever, until it is complete, so that they are its life and it is theirs.”<sup>59</sup> In their Fall both characters share common purposes that is to say, as we have seen, that they are both tempters. In Matthew 4:3: “3. The tempter came to him and said, “if you are the Son of God, tell these stones to become bread.””<sup>60</sup> Satan is presented as a tempter of the Christ and in *The Silmarillion* Morgoth always tempts his foes in order to make them fall in his corruption such as he did with the Elf Maeglin who betrayed the hidden place of Gondolin and carried on his treachery because of the promises of Morgoth. The aim of Satan that is to turn away Man from his Creator in order to make him his servant is also found in Morgoth who only wishes to be called Lord and be a master of others. In order to be this, he corrupted the Children of Ilúvatar and turned them away from their Creator, thus creating the race of the Orcs. The very servants of both characters, being Orcs or Men, are doomed to fall into darkness with their master in both *The Bible* and *The Silmarillion*.

Hence, Satan and Morgoth share this position of adversary in both tales. Whether in their names or in their actions, they are the fallen angels, and the mark of evil on Earth. This is through this evil that they are set as opponents to the powers of good in both tales.

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56 *The New English Bible, op. cit.* p. 319.

57 *Ibid.* p. 1040.

58 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 26.

59 *Ibid.* p. 20.

60 *The New English Bible, op. cit.* p. 5. - The New Testament.

## 2. *Manichean Approach of Good against evil*

While comparing Satan and Morgoth as archetypes of evil in their respective tales, we understand that both characters are mostly linked in their structure. Of Course, as we earlier said, Tolkien was a fervent Roman Catholic and thus we can not pass beside the philosophical approaches of good and evil from the Christian point of view. It is most often that thinking about good and evil, either in *The Bible* and *The Silmarillion*, that the reader will think about the most common approach of this theme that is the Manichean approach. We will now see how the Manichean theme of good against evil can be found in the tale of *The Silmarillion* and then how the character of Morgoth can be incorporated to this philosophy.

### 1. *Good against Evil in The Silmarillion*

First of all, what is Manichaeism? It is commonly known as a religious doctrine established on the fundamental duality of good and evil, but it is not only tied to Christianity<sup>61</sup>. Indeed it is a faith constructed with elements of different religions such as Zoroastrianism, Buddhism and Christianity<sup>62</sup>. Its most famous defender was a man called Mani or Manes from the first century A.D. who deeply believed in this idea of a world divided between good and evil, it is a gnosticism about the human condition<sup>63</sup>. In Tolkien's work, this theme of good against evil can easily be found and especially in *The Silmarillion*. Indeed the fight of Morgoth against the Valar and the ultimate defeat of evil are recurring themes in the Manichean philosophy.

In Mani's gnosticism, the revelation of the human condition is described as a myth<sup>64</sup>. In *Les grandes notions du christianisme*, Fernand Comte presents to us this myth as a huge, cosmic myth, which is a complicated construction that is, a generation to the next, overburdened by the apparition of new characters, symbols and symmetries<sup>65</sup>. This is the first point that we can collate with the story of *The Silmarillion*. Indeed, Tolkien's story, if only by its structure, is a myth, a fictive myth of course. This is the story of the Creation of the world

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61 Fernand Comte, *Les grandes notions du christianisme*, op. cit. p. 152.

62 *Ibid.*

63 *Ibid.*

64 *Ibid.*

65 *Ibid.*

and its evolution which can be seen as a cosmic myth. Like the myth of humanity in the Manichean approach, the story of *The Silmarillion* is a complicated construction following the history of different characters, families, races through years and ages, through generations.

In the Manichean view, this system is composed of three times<sup>66</sup>. A fore time which is original, where the two substances that are good and evil (Light and Darkness) are separated from each other and independent in their own<sup>67</sup>. A second time, median or present, where both substance were blended and still are and a future time or final time where the blended substances are separated anew<sup>68</sup>. These two principles of time and good against evil are what makes Manichaeism. These three times can be found also in the story of *The Silmarillion*. The fore time is the time of the Ainulindalë, before Melkor rises and opposes himself to the music of his Creator. In this time, there is no fight and both substances are separated. From his opposition, the myth comes in the second time where Melkor, the force of evil, is opposed to Ilúvatar and the Valar afterwards, the forces of good.

In this time we find the dissension of Melkor in the music, his fight with his brethren the Valar and the First Age with the Wars of Beleriand. The final time appears with the War of Wrath. The last war of the Valar against Morgoth where this one was overthrown and his power destroyed. Thus the two substances were separated anew and as we will see, the substance of Light was freed from the one of Darkness. This notion of final battle against evil can also be found in Christianity and notably in the Revelations of John and the part on the Apocalypse. In these chapters of *The Bible* we can read the final fight against Satan and his followers before those are thrown and destroyed in an eternal fire by Jesus and the angels of God. This vision of the final battle is also found in *The Silmarillion* with the War of Wrath which brought an end to the power of Morgoth as he was thrown into the Void. Now that we have seen that the Manichean view could be applied to *The Silmarillion*, we will see how the character of Morgoth slots himself in the philosophy.

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66 Fernand Comte, *Les grandes notions du christianisme*, op. cit. p. 152.

67 *Ibid.*

68 *Ibid.*

## 2. *Morgoth in the Manichean approach*

The Manichean faith assumes that at the beginning of all things God and Satan coexisted together with Satan being introduced as the matter, rather organic or concrete, opposed to the divine substance of Light that is God, the spirit<sup>69</sup>. Fernand Comte in *Les grandes notions du christianisme* explains that both sides had its own realm, clearly separated from one another, at the beginning<sup>70</sup>. The realm of God was the land of Light which infinitely extends itself to the north and is only peace, smoothness and purity<sup>71</sup>. In the south lies ad infinitum the land of Darkness, the realm of the matter, of Satan, in there everything is only disorder, foolishness and stench<sup>72</sup>. Both realms are made of five mansions for the Light and five pits for the Darkness: the five mansions of God are the mansions of wit, reason, thought, reflection and of will while the five pits of Satan are abysses of smoke, haze, of consuming fire, of devastating air and of destructive wind<sup>73</sup>.

This vision of a divided world can be found in *The Silmarillion* with Morgoth taking again the shape of Satan. In *The Silmarillion*, the land of Light can be associated to the land of Aman where the Valar dwell. Their land, Aman, literally means “blessed, free from evil” in Quenya. Even if it does not lay in the north of the world, being set up in the west, it is still opposed to the land of darkness that lies in the east of the world which is Middle-earth. Being literally separated by the Great Sea which symbolizes the Manichean separation between good and evil, Aman and Middle-earth coincide with the Manichean lands of Light and Darkness if only because Aman was always bathed in light while Middle-earth knew for a long time only darkness. If the land in the east is not all made of devilry, the abodes of Morgoth in this land easily match with the description of the land of Darkness in Mani's theory.

Like the land of Satan, the strongholds and lands of Morgoth are pits, deep places of fire, smoke and desolation. His first fortress was called Utumno or *Udûn* in Sindarin which means “un-west”. With its name the fortress inscribes itself in the Manichean view, identifying itself as a clear opposition to the land of Light in the west of Arda. Furthermore,

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69 Fernand Comte, *Les grandes notions du christianisme*, op. cit. p. 153.

70 *Ibid.*

71 *Ibid.*

72 *Ibid.*

73 *Ibid.*

Utumno was described as “a vast fortress, deep under Earth, beneath dark mountains where the beams of Illuin were cold and dim.”<sup>74</sup> Illuin being one of the two Lamps of the Valar that brought light to Arda, we find again this image of opposition between Darkness and Light. Utumno was said to be delved “exceeding deep, and its pits were filled with fires.”<sup>75</sup> This image of a land plunged into darkness made of pits of fire is another correlation between the land of Morgoth and the land of Darkness in the Manichean view. In addition, the smoke and haze and the devastating air of the land of Darkness in the Manichean view can also be found in the land of Morgoth such as in Angband, his other stronghold in the north where he established his main place after the destruction of Utumno. Let it be with the rising of Thangorodrim<sup>76</sup>: “and a great reek of dark smoke was ever wreathed about them”<sup>77</sup>, the hiding of the holy light of sun and moon: “sending forth great reek and dark cloud to hide his land from the light”<sup>78</sup> or the poisoning of the air on the field of battle: “the Mountains of Iron belched forth fires of many poisonous hues, and the fume of them stank upon the air, and was deadly.”<sup>79</sup>, the images of smoke and haze and devastating air seem to be deeply inscribed in the work of Morgoth as it is in the work of Satan in the Manichean view.

The second time, median, is the set up of the blending of Light and Darkness. Fernand Comte explains that in the Manichean philosophy the mixing happens when Darkness tries to invade the realm of Light because the first one envied and coveted the splendour of the second one<sup>80</sup>. Thus a part of the substance of Light was blended and enslaved by the substance of Darkness, the matter<sup>81</sup>. The reason of the blending of the two substances can be found in the reason Melkor had to rise against Ilúvatar during the Aινulindalë. In his pride and envy Melkor tries to take the Imperishable Flame for himself and to wear the same titles as his Creator. Also, this enslaving of the Light can be seen in the enslaving and torturing of the Elves by Morgoth transforming them into the evil race of the Orcs. The Elves being the Children of Ilúvatar given the gifts of the mansions of Light, we can see the opposition of Light and Darkness as the Orcs are the reflection of the land of Darkness. Further, the Balrogs, holy powers corrupted by Melkor in his music can also be presented as such.

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74 J.R.R. Tolkien, *The Silmarillion*, *op. Cit.* p. 36.

75 *Ibid.* p. 51.

76 The three-peaked mountain raised above Angband by Melkor.

77 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 81.

78 *Ibid.* p. 100.

79 *Ibid.* p. 151.

80 Fernand Comte, *Les grandes notions du christianisme*, *op. cit.* p. 153.

81 *Ibid.*



Following the invasion of Light by Darkness, only many onslaughts will be needful to free the substance of God<sup>82</sup>. This is around these fights and wars of Light against Darkness which happen in the primordial time that the mythology of the Manichean philosophy is constructed<sup>83</sup>. From these events the human soul will be born because some Light was imprisoned in the matter of Darkness giving birth to Adam and Eve<sup>84</sup>. This explains the divine origin of the soul of Man and the origin of his body inscribed in the matter<sup>85</sup>. The War of the Powers, the Wars of Beleriand or the War of Wrath and all the fights and battles between the forces of Morgoth and the Children of Ilúvatar that occurred during the Elder Days, during the primordial time of Tolkien's work, are all inscribed in the fights of good against evil and they form the mythology of *The Silmarillion* in the Manichean approach. The marring of Arda and the evil deeds of Morgoth also explain the status of the Children of Ilúvatar for their body is inscribed in the earth and linked to the fate of the fight against Morgoth while their soul is forever linked to the Creator.

The end of the fight occurs when all the particles of Light imprisoned in the matter of Darkness will be freed and will go back to the realm of Light that is to say all the particles imprisoned in the world and the bodies of its inhabitants.<sup>86</sup> This end occurs in *The Silmarillion* when Morgoth is overthrown and his realm and devilries are unmade. Thus the world knew peace and the Light was unmatched and freed from his tyranny.

But reducing *The Silmarillion* to this Manichean vision would be demeaning the work of Tolkien as an unsophisticated story about good against evil. While in truth, it is rather more complex.

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82 Fernand Comte, *Les grandes notions du christianisme*, op. cit. p. 153.

83 *Ibid.*

84 *Ibid.*

85 *Ibid.*

86 *Ibid.*

### 3. *Critic of this Manichean Approach*

The Manichean philosophy is a rather simplistic approach of good and evil. It gives us an explanation of how the World was made and is but it does not answer the question of the reasons of evil. Why is there so much evil in the World? Mani's theory is that evil was just there, from the beginning and has always opposed itself to good. But of course this idea does not, at large, study the origin of evil. Of course, evil in the work of Tolkien is much more complex than a simple opposition of two sides. In order to explain this, we will see now different theories about the origin of evil that can be applied in *The Silmarillion* and notably the ideas of Saint Augustine of Hippo and Gottfried Wilhelm Leibniz.

#### 1. *Saint Augustine of Hippo and the First Fault*

Saint Augustine of Hippo was a philosopher of the fourth century. His major work, *Confessions*, is an account of his life and a philosophical study on the questioning of the existence of the Christian God. In his reflections Saint Augustine argued on the issues of God and his Creation and notably on the issues of the Manichean philosophy. Thus, it led him to argue on the origin of evil according to the Manichean myth of which he made a critic. In *Confessions*, Saint Augustine deconstructed the Manichean approach of evil according to his beliefs on Christianity.

According to the philosopher, the World is not divided between good and evil, between the spirit and the matter as the Manichean view exposes. Using the Genesis of The Bible as the basis of his argument Saint Augustine explains that if God made everything from Heaven to Earth by his own will and power and that he, being all good, saw that what he did was all good, he could not have made evil because evil would have been good also<sup>87</sup>. Plus, if God made everything, he also made both body and soul of Men in opposition to the Manichean myth where he only had part in the soul while the body was the heritage of evil. Thus, being all good in himself, he could not make something evil and so the body of Men is not evil. It is not part of some kind of evil matter which exists alone because everything was

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<sup>87</sup> Saint Augustine of Hippo. *Confessions*. Normandie: Editions Pierre Horay, 2018. p. 168.

made by God from nothing and all that he did is good. So Adam and Eve were made all good, they were perfect in the moment of their creation<sup>88</sup>.

In *The Silmarillion*, we find this idea of an all powerful god that was there before everything else and particularly before the apparition of the first evil. “There was Eru, The One, who in Arda is called Ilúvatar; and he made first the Ainur [...] and they were with him before aught else was made.”<sup>89</sup> We see that as in *The Bible*, Ilúvatar was there before everything, and he was alone, he was The One. Of course we saw that he created Melkor, the fallen Ainur, so that evil was not with him or opposed to him at the beginning on the contrary of the Manichean myth. Ilúvatar is like God: good, and his work is all good, this idea is found in the expression of his Music that can be assimilated to the Creation in the Christian faith: “the glory of its beginning and the splendour of its end amazed the Ainur”<sup>90</sup> and “But now Ilúvatar sat and hearkened, and for a great while it seemed good to him”<sup>91</sup>.

According to the Manichean myth, Man was created by the fusion of Light and Darkness, so that God did not personally create him and thus it explains evil in the world for Man is made half of the matter. How an all powerful and good being like God or Ilúvatar could make a thing even half evil? Saint Augustine responds that he can not due to his all good nature. In *The Silmarillion* we know that the Children of Ilúvatar are not made of evil because it is said that Ilúvatar brought them himself to life in the World and that it was his plan from the beginning, it was part of the Music he made, that is all good, and so are his Children.

The Manichean myth sets forth that because of the evil nature of the body of Man he is not to be found guilty of his sins. Saint Augustine retorts, following his argumentation on the good nature of God, that as there is no matter and no opposition of good and evil, Man is to be found guilty of his sins. He is the only responsible for his bad actions because there is no evil made by God. Saint Augustine gives us an explanation thanks to the case of Jesus Christ<sup>92</sup>: if the matter is really part of the body of Man, how Jesus, the saviour and son of God that is all good, could have been incarnated in the body of a man? Impossible according to the philosopher, the son of God can not share some devilry. Thus Man is not made out of matter and this one does not exist. The Light, all good, can not be spoiled if it is perfect. In the work

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88 Saint Augustine of Hippo, *Confessions*, *op. cit.* p. 179.

89 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 15.

90 *Ibid.*

91 *Ibid.* p. 16.

92 Saint Augustine of Hippo, *Confessions*, *op. cit.* p. 129.

of Tolkien, we can find this approach with Melkor. We know of course that he is to become Morgoth, the great evil of Arda, but the Manichean myth can not be applied to him. He was made by Ilúvatar, that is all good, and he was not there at the beginning as an entity opposed and equal to Ilúvatar and thus he was not the evil opposed to good of the Manichean myth. Plus, Melkor and his brethren were “the offspring of his (Ilúvatar) thought”<sup>93</sup> thus Melkor would have not been made of matter but of Light according to the Mani's theory. He participated in the Music, the Creation of Ilúvatar that is all good, and at first he only wanted good. But his pride pushed him to rebel against his creator. He did it by choice, by free will. That can be linked to the choice of Lucifer who rebelled in his pride or Adam who ate the apple by choice. But this we will see afterwards.

Furthermore, Saint Augustine questions next the fight of good against evil. He asks what would happen if God refuses the fight<sup>94</sup>. Either evil attacks God then it would mean that good is corruptible and can be altered but we saw that it was impossible because God is perfect. Or evil does not attack and the fight has no reason to be and thus Man would not exist because there was no blending of Light and Darkness. With Saint Augustine, we saw that God is incorruptible and all good and he made all things good. Thus no soul that he made could be superior or equal to him even though it is all good, which is an idea we saw earlier, and it explains that his Creation is not perfect. From this weakness we find the origin of evil that Saint Augustine was proving against the Manichean myth. God being all good and evil being impossible by his hand, we must see the weakness of the Creation: Man as the source of evil<sup>95</sup>. Thus if God made all things good, it means that Man was of the same kind, at least at the beginning. Therefore, the only way for evil to appear was by a first fault of Man. From this Saint Augustine created the concept of Original Sin.

Fernand Comte explains in *Les grandes notions du christianisme* that from this idea of Original Sin the Christian faith later assimilated the sin of Adam as the first fault in the Creation<sup>96</sup>. The Creation being all good, the only way for evil to appear was by the free will of Man. By eating the prohibited fruit, Adam disobeyed the will of God and thus doomed mankind to mortality, suffering, ignorance and sin. Fernand Comte exposes then that if Man was deprived of the gifts of God it is because he lost his friendship in vanity<sup>97</sup>. This explains

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93 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 15.

94 Saint Augustine of Hippo, *Confessions*, *op. cit.* p. 165.

95 Fernand Comte, *Les grandes notions du christianisme*, *op. cit.* p. 185.

96 *Ibid.* p. 184.

97 *Ibid.*

why the World and Men are sinful: due to the Original Sin, they lost the trust of their Creator, they lost their goodness and thus were deprived, fallen. The first of all sin is the cause, due to the heritage of Adam generation after generation, of all evil.

From the free will of Melkor to rebel against the orders of Ilúvatar we find a link to the transgression of Adam and therefore the origin of evil. This is to be linked to the concept of the Original Sin: Melkor was the first to sin and his sin had a terrible heritage upon Arda. This legacy of the first fault was the damnation of Man in Christianity.

In *The Silmarillion* it is the marring of Arda that is “the ruin of the order and beauty of Arda as conceived in the Great Music by the malice of Melkor.”<sup>98</sup> Thus the goodness of the world was reduced due to evil which takes its root from the first sin of Melkor, his rebellion. Nature, beasts, Men, Elves, all things were touched by his evil legacy. In addition, Melkor is set as the original source of evil applying the arguments of Saint Augustine and we could imagine what would have happened if he did not fall into Darkness. All things on Arda and the Children of Ilúvatar were made good by the Creator and they would have stayed that way if not because of the deeds of Melkor. He was the one to make green things fall sick, to change animals to fall beasts, to poison the mind of Men and Elves with lies and to wage war. Without his first fault, the Creation of Ilúvatar would have stayed good and perfect such as in the Music.

Even though some elements of the Manichean myth can be applied to *The Silmarillion*, we saw thanks to the arguments of Saint Augustine that the myth could not explain and be applied to the origin of evil in the Creation of Ilúvatar. Melkor is presented as the first sinner of the Creation and thus we learn of the origin of evil. But there is another possible view on the origin of evil which can be studied thanks to the theory of Leibniz.

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98 Foster, Robert. *The Complete Guide to Middle-Earth*. New York: Ballantine Books, 1978.

## 2. *Leibniz and the Greater Good*

Wilhelm Gottfried Leibniz was a German philosopher of the seventeenth century. In his work *Theodicy* the philosopher argues on the existence of God and the origin of evil. Thanks to his argumentation we can apply his theory to *The Silmarillion* in order to study the origin of evil and its role in the Creation of God and in the one of Ilúvatar.

A common argument about evil and its part in the Creation of God is to say that if God created everything and that he knows everything then he is to be responsible for all evil in the world since it is his creation. For Leibniz it is impossible. According to the philosopher, sin is not inherent to Man but to all the Creation of God. In *Theodicy*, Leibniz presents God as the first reason of all things, from him all things depend<sup>99</sup>. So that he made everything according to his own will and to the divine Reason that is good. But as we saw he can not make something as great as himself and this is why the world we live in can be seen as the best possible world because it is the most perfect world that God could make. Thus it is a lesser evil that is found in our world because it is the best possible world. Leibniz gives the example of the utopia to explain himself<sup>100</sup>: Man has always imagined perfect societies without evil or sin but these are not possible because otherwise God would have chosen them to be his Creation instead of ours.

In *The Silmarillion*, Ilúvatar was there before anything else was made and he created everything from his themes of music. The idea that God could not make something equal to himself can be applied to Ilúvatar and particularly with Melkor. Melkor was the first being to rebel and thus break the peace in Heaven. As we saw it is likely due, like Lucifer, to his inequity because he was not perfect. Plus, we saw earlier with Saint Augustine that Ilúvatar is all good, thus it seems obvious that he made all things good and that he made the world as best as he could making Arda the best possible world in *The Silmarillion*. Therefore we can admit that the evil of Melkor is a lesser evil being part of the best possible world.

According to Leibniz the origin of evil is not to be found in Adam nor Satan but in the ideal nature of the Creation, of which only God knows the truth<sup>101</sup>. The philosopher talks of an original imperfection of the Creation before the first sin: indeed God can not create something

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99 Leibniz, G. Wilhelm. *Theodicy*. Paris: GF Flammarion, 1969. p. 107.

100 *Ibid.* p. 108.

101 *Ibid.* p. 116.

equal to himself so his creation will be lesser, will own different degrees of perfection and thus it will have limitations which enable the sin. According to Leibniz, the World of God is made of a Comprehension and a Necessity<sup>102</sup>. Namely the ideal nature of things is bound to this divine comprehension which consists in Eternal Truth. This is where the origin of evil is found, in the eternal truth, in a necessity of nature. Evil exists anyhow in all possible worlds because it is an eternal truth and God knowingly chose our world because it was the best possible one, the one with the less evil. Thus, God allows evil on Earth because it is a lesser evil. Evil does not come from Man and is not opposed to good, it is part of it, it is here for the sake of good.

We saw before that Ilúvatar is like God and that he also knows of everything that was made and is, for it is said: “for to none but himself has Ilúvatar revealed all that he has in store.”<sup>103</sup> Next, we can explain the rebellion of Melkor with the limitation of his creation. Melkor, like Lucifer, was imperfect because Ilúvatar could not make him as great as he himself his: “Ilúvatar has not revealed what he purposes for the Elves after the World's end, and Melkor has not discovered it”<sup>104</sup> and thus he could not understand the full meaning of the Creation. Following the theory of Leibniz, we can assume that Ilúvatar also knew that his Creation was not perfect and that evil would inevitably come in his Creation, here portrayed as Melkor. But instead of preventing him to go down in Arda, Ilúvatar left Melkor be because he knew it was a lesser evil.

The philosopher presents God as an entity who only wants what is good and best and it can only be this way because he chose the best possible world. Thus God does not want evil because he only wants good. Leibniz introduces the first difficulty: if God only wants what is good, why is there evil if he chose the best possible world? Leibniz explains that it is a necessary evil, God chose the best possible world and thus evil is a lesser evil which could have been worse<sup>105</sup>. Nicolas Bonnal presents the evil of Melkor in his work *Tolkien, les univers d'un magicien* according to the theory of Leibniz, saying that it exists in order for good to surpass itself and thus making the existence of evil its own<sup>106</sup>. The scolding of Melkor by Ilúvatar due to his rebellious music is the excerpt used by Bonnal to present the image of evil in Leibniz's theory:

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102 Leibniz, G. Wilhelm, *Theodicy, op. cit.* p. 116.

103 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 18.

104 *Ibid.* p. 42.

105 Leibniz, G. Wilhelm, *Theodicy, op. cit.* p. 117.

106 Bonnal, Nicolas. *Tolkien, les univers d'un magicien*. Lonrai: Les Belles Lettres, 1998. p. 212.

And thou, Melkor, shalt see that no theme may be played that hath not its uttermost source in me, nor can any alter the music in my despite. For he that attempteth this shall prove but mine instrument in the devising of things more wonderful, which he himself hath not imagined.<sup>107</sup>

Evil can not exist without good, evil can not exist without taking its uttermost source in good, for the sake of good. In *Theodicy* Leibniz says that evil often benefits good for it enables good to be better<sup>108</sup>. That is to say that evil is then just here to serve good and this is why God allows, tolerates it. Thus God righteously allows the sin, evil, without being its maker or its accomplice<sup>109</sup>.

This is the legacy of evil that we can find in the marring of Arda or with the power of Morgoth which he assimilated to the Earth: “as he grew in malice, and sent forth from himself the evil that he conceived in lies and creatures of wickedness, his might passed into them and was dispersed, and he himself became ever more bound to the earth.”<sup>110</sup> Fernand Comte explains that in Christianity, if Satan can be beaten he is never definitely defeated. As long as the history of Mankind goes on the devil will tempt and set aside Man from the path of God<sup>111</sup> like the legacy of Morgoth who “sowed in the hearts of Elves and Men [...] a seed that does not die and cannot be destroyed; and ever and anon it sprouts anew, and will bear dark fruit even unto the latest days.”<sup>112</sup> Here again we find this idea of inherent evil in this indestructible seed. Leibniz gives a reason to evil: it is for the sake of good. God, in his great wisdom, allows evil to be only because it brings good in its uttermost end. It is necessary to achieve an end, to avoid a greater evil or to reach a greater good. Leibniz adds that it also serves good in order to improve the sinner<sup>113</sup>.

In *The Silmarillion* we can collate this idea to the End that is the culmination of Eä<sup>114</sup>. The End refers to the ultimate defeat of evil in the Last Battle and the healing of Arda of the marring of Melkor. Then Eä will display the perfect realization of the Ainulindalë. According to Leibniz's theory, we understand that evil was necessary to achieve the End. The perfect

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107 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 17.

108 Leibniz, G. Wilhelm, *Theodicy*, *op. cit.* p. 118.

109 *Ibid.* 164.

110 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 101.

111 Fernand Comte, *Les grandes notions du christianisme*, *op. cit.* p. 210.

112 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 255.

113 Leibniz, G. Wilhelm, *Theodicy*, *op. cit.* p. 117 – 118.

114 The Creation, the realization of the Vision and the Ainulindalë by the will of Ilúvatar.



realization of the Ainulindalë was only possible if Arda was marred before, if evil had its mark thus leading to the greater good of the World.

Furthermore, the name Satan from the Hebraic language was originally used to describe an adversary role and not a particular character<sup>115</sup>. Indeed, it is after the 6<sup>th</sup> century B.C.E<sup>116</sup> that Hebrew storytellers started to use the word as a name for a supernatural character that was in fact any of the angels sent by God in the purpose of obstructing or blocking human activity<sup>117</sup>. This specific purpose ordered by God can be associated to the idea that there is not a fight of good against evil but that evil is part of the greater plan of God<sup>118</sup>. This idea we find in the words of Ilúvatar to Melkor after his rebellion in the Ainulindalë:

And thou, Melkor, shalt see that no theme may be played that hath not its uttermost source in me, nor can any alter the music in my despite. For he that attempteth this shall prove but mine instrument in the devising of things more wonderful, which he himself hath not imagined.<sup>119</sup>

Here we see that all that is done by the creations of Ilúvatar is done by his own will. There is nothing made out of his greater plan. Furthermore, Ilúvatar says few lines after to Melkor again: “And thou, Melkor, wilt discover all the secret thoughts of thy mind, and wilt perceive that they are but a part of the whole tributary to its glory.”<sup>120</sup> Here again Ilúvatar says that all that is done is done for the purpose of his greater plan that is to say the doom of the Children of Ilúvatar and the doom of his Creation. From this, we see that all the evil of Melkor, all the deeds that brought devilry to Arda were just part of the Creation of Ilúvatar and were meant to make it more glorious. This is to be linked to the theory of Leibniz who says that evil exists only for the sake of good, in order for good to surpass itself and make the existence of evil its own.

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115 “Satan”. *Online Etymology Dictionary*. Douglas Harper. 2001-2019.

116 Before Current Era.

117 “Satan”. *Online Etymology Dictionary*. Douglas Harper. 2001-2019.

118 *Ibid.*

119 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 17.

120 *Ibid.*

In this first part, we established Morgoth as an archetype of evil in the religious view of this notion. We saw thanks to the link between Lucifer and Melkor that the dark lord of Middle-earth was to be seen as a fallen angel, future lord of hell due to the many influences the literary character owns from Lucifer. Thanks to the philosophical study of the notion of evil, notably with the Manichean philosophy opposed to the one of Saint Augustine and Leibniz, we saw that *The Silmarillion* and its notion of evil was as complex as the notion of evil in *The Bible*. Indeed, Morgoth is the vehicle of this evil, making him an archetype of the notion.

## II. **Structural Literary Approach of the Character of Morgoth**

It is mainly impossible to talk about fantasy without talking about John Ronald Ruel Tolkien. Indeed, the father of Middle-earth is one of the pillars of the genre and his work was and is still the major influence to many authors. Bathed in medieval, religious as well as modern history the genre of fantasy is the matrix of imaginary worlds inscribed in faery as Tolkien calls it. The genre of fantasy being the main interest here, this is through the different aspects of the genre as well as its roots in the folktale that we will study the figure of Morgoth in literature. This study will be completed thanks to the linguistic and semiotic study of the signs of evil of Morgoth.

### 1. *Morgoth in the Fantasy Genre*

After the release of *The Hobbit* in 1937 and *The Lord of the Rings* in 1954, Tolkien was universally acknowledged as a fantasy author. The genre is concerned with all the fictional worlds bathed in the supernatural and more particularly in magic. Taking its inspirations from mythology or the Middle Age, it is peopled with several creatures often borrowed from the folktale such as Elves or Dwarves<sup>121</sup>. It is common, when reading fantasy literature, to discover a mapped world, wealthy of different cultures owning their own languages, a scheme that is rooted in Tolkien's work. Each of its characters are indicative of the literary genre and thus we can see the character of Morgoth as indicative to the character of the villain in the fantasy genre and the folktale. He is the dark Lord, the Enemy of the World and through his characteristics, his creations and his actions we will see how Morgoth is established as the archetype of the villain, of evil, in the fantasy genre. We will study this point thanks to the work *Dictionnaire de la fantasy* under the direction of Anne Besson which itemizes the major elements attached to the genre from the importance of good and evil to the use of violence and war in fantasy in order to give not only a definition but an index of what this genre is, the most relevant ones for our study being those studied thereafter.

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121 Besson, Anne. *Dictionnaire de la Fantasy*. Paris: Editions Vendémiaire, 2018. p. 8.

## 1. *The Character of Morgoth*

First of all, to study the character of Morgoth we need to understand *The Silmarillion* as a fantasy work with a brief contextualisation. *The Silmarillion* is a fantasy novel that takes its roots in the fairy tale. Silène Edgar, in Anne Besson *Dictionnaire de la fantasy*, studies an excerpt of *On Fairy-Stories*, written by Tolkien, that is:

*Faerie* contains many things besides Elves and fays, and besides dwarfs, witches, trolls, giants, or dragons: it holds the seas, the sun, the moon, the sky; and earth, and all things that are in it: tree and bird, water and stone, wine and bread, and ourselves, mortal Men, when we are enchanted.<sup>122</sup>

In *On Fairy-Stories*, the author introduces the idea of the Pot of Soup or the Cauldron of Story where all fairy-stories or bits of them are boiling and blending together creating new stories<sup>123</sup>. This expansion, this perpetual creation makes up the background of fantasy. Plus, as we have seen, Tolkien incorporates in the *Faerie* not only its inhabitant (Elves, fays, dwarves, etc.) but also land, sea, living things or not leading towards a genuine cosmogony of the fantasy. This essential idea of cosmogony in the fantasy genre presented by Tolkien is to be linked to his work and of course, as we have seen, *The Silmarillion* is truly a genuine cosmogony. From the Ainulindalë to the end of the First Age, and even beyond with his other works, the story of Tolkien forms the genesis of an imaginary world rooted in the *Faerie* as we can guess with its inhabitants and its history of events. This aspect coincides with our previous arguments introducing the imaginary world of Tolkien as an alternate Creation, as a myth, such as in the Manichean philosophy.

In Anne Besson's *Dictionnaire de la fantasy*, Florian Besson presents an important aspect of the literary genre: the theme of Law and Chaos<sup>124</sup> which can easily be simplified as good and evil. This aspect is to be linked with the Manichean view as he says: "L'opposition manichéenne entre le bien et le mal, la lumière et les ténèbres, domine la fantasy depuis ses tout débuts."<sup>125</sup> Thus, chaos is often the vehicle of death, darkness and evil gods of which Morgoth is part while law is the one of the heroes and of Light. More than a vehicle of evil

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122 Tolkien, J.R.R. *The Monsters and the Critics and Other Essays*. London: HarperCollins, 2006. p. 113.

123 *Ibid.*

124 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 230.

125 *Ibid.*

due to his religious influences, as we have seen previously, Morgoth is also a vehicle of evil in the fantasy genre. The chaos side is characterised by its violence, its evilness and the aspect that all its participants have the will to destroy what is not himself. Estelle Faye in Besson's *Dictionnaire de la fantasy* explains, about the notion of chaos: “Au commencement, souvent, en fantasy, était un âge d’or. [...] Puis est venu le Chaos, l’élément perturbateur des contes.”<sup>126</sup>, which is another aspect of the genre that can be linked to the character of Tolkien with Morgoth being the one that brought chaos to this golden age in the *Ainulindalë*.

Morgoth being part of the chaos, of evil in the fantasy, he holds a particular status, a particular role in the genre as we will soon see. But first, characters such as our antagonist are not only defined but their affiliation to chaos but also to their opposition with Law as it is named in the dictionary. Florian Besson in Besson's dictionary, in his definition of Law, names the Light as its most common representation in fantasy<sup>127</sup>. Light being associated to good, to Law, it is obvious that Night, darkness is associated to evil, to chaos. Adding the cultural background of the Occident about night we understand how these elements make up the theme of chaos in fantasy. Indeed, evil in the genre is most often represented by monsters appearing at nightfall which we will see just after. In *The Silmarillion*, the perpetual fight of Melkor and his darkness against the Light of Ilúvatar and the Valar, such as the destruction of the Two Lamps, the Two Trees or his successive attacks over the Sun and the Moon, is a symbol of the recurrent theme of Light and Chaos in fantasy. Furthermore, in the genre, night is the time of monsters, living-deads, vampires and others evil creatures and their common goal is most often the destruction of Light. The creatures of Morgoth undergo the same process for they only walk the earth under night and they share the will of their master to destroy the light.

Of course, Night is part of what defines the character of Morgoth as a fantasy character<sup>128</sup>. Fabien Clavel in his article of Besson's dictionary argues on the origin of the theme in fantasy saying: “Les racines de la fantasy étant principalement médiévales, la nuit vient sans doute de l’image que l’on se fait de cette période”<sup>129</sup>. Thus the name of the Dark Age explaining the vision we have of this period as an obscure one. The World of *The Silmarillion* is unquestionably a medieval-like world, naming only its architecture, its weapons and its feudal system should be enough to justify this argument. Seeing Morgoth as

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126 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 231.

127 *Ibid.* p. 234.

128 *Ibid.* p. 291.

129 *Ibid.*

an evil entity surrounded by Night and seeing his evil deeds, it would not be wrong to see him as a reminder of the Dark Age and the cliché vision we commonly assimilate to it. Further, the time of the night is the time where the servants and monsters of Morgoth are the most active, which is another evidence of the theme of Night in fantasy found with Morgoth. In addition, a common feature, linked to the Manichean approach of fantasy, is to distinguish good and evil by identifying White and Black as the colours of each side. Black, being the colour of night, is also the colour of evil in the genre and if Morgoth is to be identify as such, the colour is certainly the most important argument: “he put on again the form that he had worn as tyrant of Utumno: a dark Lord”<sup>130</sup> and “and he issued forth clad in black armour”<sup>131</sup> here we see the correlation between Morgoth and the aspects of night and dark in fantasy.

After seeing all these points, we can now determine that Morgoth is a specific character in fantasy: the one of the dark lord<sup>132</sup>. In *Dictionnaire de la fantasy*, the character of the dark lord is presented as such: “Figure archetypal de la *High Fantasy*, le Seigneur des Ténèbres y est souvent le principal antagoniste.”<sup>133</sup> Owing Manichean roots with his fierce opposition to Light, he is presented as the absolute evil and the dictionary we are using as a reference defines him by saying: “(c'est un) tentateur, dominateur, envahisseur, despote, corrupteur ou meurtrier.”<sup>134</sup> With these points, we can already set Morgoth as a dark lord of fantasy, and not only because he owns this name several time throughout the novel. As we said, he is the principal antagonist and we can bind the different characteristics of the character of the dark lord to Morgoth. We saw that the character was presented as a tempter. In *The Silmarillion*, temptation is one of the great weapons of Morgoth, we could particularly quote his design to make the Noldor revolt against the Valar in Aman or his plans with the Easterlings during the Wars of Beleriand, swearing to give them power and land or even his intent to push Ungoliant to help him: “she would not stir from her hiding. Therefore Melkor said to her: “Do as I bid; and if thou anger still when all is done, then I will give thee whatsoever thy lust may demand.””<sup>135</sup> He is also an overbearing and a tyrant due to his will to dominate all life in Arda: “This shall be my own kingdom; and I name it unto myself!”<sup>136</sup> The trait of invader is to be found with the many wars he made, trying to take control of Arda and

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130 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 73.

131 *Ibid.* p. 153.

132 Besson, Anne. *Dictionnaire de la Fantasy*. *op. cit.* p. 353.

133 *Ibid.*

134 *Ibid.*

135 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 75.

136 *Ibid.* p. 21.

Beleriand and invading its many kingdoms. He is a briber for “others he corrupted afterwards to his service with lies and treacherous gifts.”<sup>137</sup> At last, he is a murderer, and not only because of his armies, but because he was the first murderer of Aman by killing Finwë king of the Noldor and father of Fëanor. In the dictionary, it is said that the dark lord is presented as the most powerful creature in the world in the fantasy genre, such as Morgoth is the most powerful being in Arda: “for though his might was greatest of all things in this world.”<sup>138</sup> But this power is often constrain in the genre and the character is often constrained as it is said: “(il est soit) emprisonné, endormi, voire détruit ou mort.”<sup>139</sup>

In the work of Tolkien we find a similar case with Morgoth being hidden beneath the earth first in Utumno then in Angband. We can see this sort of imprisonment in the fact that he never left his lair except two times and never willingly. At last, one of the major traits of the character of the dark lord in fantasy is his inevitable failure and destruction as it is said in the dictionary: “Ce dernier point est révélateur de l'archétype: quel que soit le déséquilibre des forces entre le Seigneur des Ténèbres et ses adversaires, il pèche par négligence et par orgueil et finit par être vaincu.”<sup>140</sup> In *The Silmarillion*, Morgoth inevitably finds his end and is defeated due to his vanity, thinking that none could defeat him after his victory over Beleriand. It is also interesting to note that evil is never really overcome in the work of Tolkien. After the fall of Morgoth, it is Sauron who rises and even after Sauron's fall, evil is still found in the heart of Men as Tolkien says from his abandoned sequel to *The Lord of the Rings*, *A New Shadow*. Evil being truly defeated only with the hypothetical end of the world during the culmination of Eä.

Finally, in *Dictionnaire de la fantasy*, we are given a definition of the character of the dark lord which can be assimilated to the one of Morgoth<sup>141</sup>. The character is presented as a figure essential to the story for he enables the heroes to prove themselves and to some extend their own existence. Of course, without Morgoth, there would have been no reason for such heroism: the character serves as an initiating event in the story. Thus he requires particular traits: “un repaire plutôt isolé, ce qui lui permettra de se protéger, mais aussi visible de loin, ce qui aura tendance à inspirer la crainte dans l'esprit des ses adversaires.”<sup>142</sup> A lair such as Angband and its fumes visible from afar, an impressive fortress, tremendously build which

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137 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 31.

138 *Ibid.* p. 153.

139 Besson, Anne. *Dictionnaire de la Fantasy*. *op. cit.* p. 353.

140 *Ibid.* p. 357.

141 *Ibid.* p. 354.

142 *Ibid.*

serves to show the might of the character of the dark lord are part of the quoted traits. Plus, the character of the dark lord in fantasy is often said: “affublé en permanence d'une tenue qui lui donne un air franchement inquiétant”<sup>143</sup> and Morgoth does not elude this for he is wearing the shape of “a dark Lord, tall and terrible”<sup>144</sup> clad in black armour. In fantasy, the character of the dark lord is said to have plans as it is said: “ce Seigneur des Ténèbres [...] a des plans [...] (qui) passent généralement par la destruction quasi complète des ses opposants et de leurs contrées, ce qui laissera le monde ravagé dans un état perpétuel d'esclavage et d'abrutissement.”<sup>145</sup> But these actions would lead him to his own annihilation: “s'il triomphe de ses voisins, il se retrouve sans raison de vivre et c'est pourquoi sa définition même contient les germes de sa propre destruction.”<sup>146</sup> The character of fantasy will surround himself with dispensable servants only here to be sacrificed for his plan<sup>147</sup> as are the Orcs for Morgoth. Often the character of the dark lord will also use powerful monsters such as giants or dragons which inevitably end by hurt their masters. In *The Silmarillion*, we can name Ancalagon the Black, greatest of the winged dragon created by Morgoth who, in his fall, broke the towers of Thangorodrim.

Now that we have identified the character of Morgoth in the genre of the fantasy as the character of the dark lord, we will now study how his creations are seen according to the genre and how they set him as an archetype of evil in fantasy.

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143 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 354.

144 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 73.

145 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 355.

146 *Ibid.*

147 *Ibid.*



## 2. *The Creations of Morgoth*

More than a figure of a character, Morgoth also inscribes himself in the fantasy genre as an archetype of evil through his creations. First of all, we previously saw that the character of the dark lord usually sets his lair in an isolated place, dark and terrible. In *The Silmarillion* it is recurrent that such places are owned by Morgoth and they are his first creations in Arda. For with fire and ice he unmade what his brethren had done: “valleys they delved and Melkor raised them up; mountains they carved and Melkor threw them down.”<sup>148</sup> And in the desolated places and the great abysses he made he built his fortresses, deep under the earth which became meandered with tunnels and caves.

Fabien Clavel in Anne Besson's *Dictionnaire de la fantasy*, presents to us traits owned by the theme of caves and underground worlds which can be collated to the underground creations of Morgoth<sup>149</sup>. In the dictionary it is said: “les mondes de la fantasy regorgent de souterrains, cavités, cavernes et grottes en tous genre.”<sup>150</sup> The pattern of the subterranean world, as it is said, is a very complex and vast one and thus the cavern in fantasy can be either a tomb, a jail, a temple, a vault, a world in itself or a template<sup>151</sup>. We see in *Dictionnaire de la fantasy* that these patterns can be linked to the world of Tolkien, thus the pattern of the tomb transforms the exploration of the cavern as a more hostile exploration as it is said: “(c'est) la descente au Royaume des morts”<sup>152</sup>. In *The Silmarillion*, this pattern can be found with the descent of Beren and Lúthien in Angband, the fortress of Morgoth. This descent will inevitably lead to the death of Beren killed by Carcharoth, the great wolf guardian of the doors of Angband. The people of Morgoth found in his underground dwellings being essentially Orcs, Elves deprived of their life and corrupted by the dark Lord, we can see the association between the underground strongholds of Morgoth and the realm of the dead.

Next, the cavern is also a prison in fantasy. Following the pattern of the tomb, the cavern is a prison that the hero will have to escape<sup>153</sup>. This becomes then a metaphor of the cycle of death and rebirth, the character must die in the subterranean world in order to be

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148 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 22.

149 Besson, Anne. *Dictionnaire de la Fantasy*. *op. cit.* p. 43.

150 *Ibid.*

151 *Ibid.* p. 44.

152 *Ibid.*

153 *Ibid.*

revived. In *The Silmarillion*, we find this pattern with Húrin. Taken prisoner for twenty-eight years in the dungeons of Angband he is finally released and comes back to life in order to achieve Morgoth's secret plan. We could also name Gandalf in the *Lord of the Rings* who died fighting a Balrog, symbol of the old power of Morgoth, in the caves of Moria before being reborn to complete his quest. This pattern of Angband as a prison is particularly established with its prisoners which are freed and reborn when Morgoth is overthrown: “and out of the deep prisons a multitude of slaves came forth beyond all hope into the light of day.”<sup>154</sup> We can also consider the fate of the Orcs as prisoners of the evil of Morgoth for they were first Elves tortured and corrupted by the evil one in his deep caves in Utumno. Thus, the Orcs are eternal prisoners of the subterranean world for they left their life in there and thus, they well represent this idea of the fantasy genre that the cavern is simultaneously a tomb and a prison.

Thirdly, in fantasy one of the most common pattern of the cavern is the pattern of the vault. The subterranean world is seen as filled with wealth of all sort: gold, jewels, power, knowledge, elements which will push the hero to enter this place: “La terre abrite aussi des trésors cachés.”<sup>155</sup> In the work of Tolkien, the wealth of the earth is often found in the caves of the Elves or the Dwarves, but there is one treasure that is above all else: the Silmarils owned by Morgoth in Angband. They are the Great Jewels, containing the last light of the Two Trees which came from the Two Lamps. Subject of all greed, they are the centre of the Wars of Beleriand and the quests to regain them. This pattern of the vault induces that the character of the hero will go on a quest to gain the treasure and in *The Silmarillion* we find this idea with Beren. We said earlier that his descend in Angband was part of the pattern of the tomb but it is also link to the one of the vault for his aim was to take one of the Silmarils from Morgoth's crown in order to claim Lúthien's hand from her father. This quest of the Silmaril is one example of this pattern of the cavern and if we look at the description of the treasure of Morgoth we clearly understand this image of vault: “For they were set in the Iron Crown, and treasured in Angband above all wealth; and Balrogs were about them, and countless swords, and strong bars, and unassailable walls, and the dark majesty of Morgoth.”<sup>156</sup>

Fourthly, the cavern can be a world in itself in fantasy. In the dictionary of fantasy under study it is said: “certain châteaux sont vastes et si profonds qu'ils prennent des allures de caverne”<sup>157</sup>. This aspect we can find it in *The Silmarillion* with the two fortresses of

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154 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 252.

155 Besson, Anne. *Dictionnaire de la Fantasy*. *op. cit.* p. 44.

156 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 167.

157 Besson, Anne. *Dictionnaire de la Fantasy*. *op. cit.* p. 44.

Morgoth: Utumno and Angband. They are deep pits, abysses filled with the armies and servants of Morgoth and are a world of their own for this is the place of living of the Balrogs, the Orcs and of course Morgoth their king. Plus, with its many tunnels and caves we can add the many mines, factories and chambers which form the heart of the strongholds. There are not only holes and tunnels in the earth but also constructions and walls. Moreover, they are a world of their own for they are the world of Hell, the world of Darkness. This way, we find in the work of Tolkien the last remnants of the old world in caverns, such as the Balrog in Moria or Shelob, last child of Ungoliant, in the tunnels near Cirith Ungol. Plus, the fortresses of Morgoth are the only places where his first followers can be found, the ones that were at the beginning in Heaven, remnants of the first Light. In addition, in fantasy it is said in the dictionary: “On peut opposer symboliquement la caverne à la tour, symbole d'élévation”<sup>158</sup>, an idea that we can find with the opposition of Morgoth in his underground fortresses and the Valar in their tower on Taniquendil.

Indeed Angband and Utumno are deep underground fortresses which enables the patterns of the cavern to be found. But more than underground fortresses they are unassailable castles<sup>159</sup>. In *Dictionnaire de la fantasy*, we are introduced to this idea: “Les édifices castraux dominant le paysage de la fantasy.”<sup>160</sup> Hence, isolated towers, golden palaces or deep fortresses and of different influence: occidental medieval, Gothic, antiquity all these aspects form the pattern of the castle in fantasy. But whatever their form or influence, they all serve the same purposes that is said: “à la fois résidentielle et défensive.”<sup>161</sup> The main fortress of Morgoth owns these two characteristics for Angband is his lair and also his main stronghold: he never left it during the time of the Wars of Beleriand and the long sieges made by the Elves were never a success. In fantasy, these important constructions are most often built in what Yohann Chanoir in Besson's dictionary calls the *wilderness*, which is said: “(un) ensemble d'espaces naturels, sauvages et inhospitaliers. Déserts, steppes, île isolée... sont les sites les plus récurrents. Les traverser constitue toujours une véritable épreuve.”<sup>162</sup> In *The Silmarillion*, the fortresses of Morgoth are all situated in the wilderness of Arda. Angband, notably, is set on the Ered Engrin, a range of ice-crowned mountains dominated by the three-peaked volcanic mountain Thangorodrim. The only way to get close to the Hell of Iron is to cross

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158 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 46.

159 *Ibid.* p. 51.

160 *Ibid.*

161 *Ibid.*

162 *Ibid.*

Anfauglith, great-thirst-ash in Sindarin, which is the name of the great plain lying north of Dorthonion who was devastated by the fires sent forth by Morgoth. It remained a desert land filled with dust, bones and vapours of poison, enabling the theme of *wilderness* in the pattern of the castle and particularly for Morgoth's castle.

In fantasy, castles are presented as unassailable, showing the domination of its owner over the land around, a land that is said: “toujours plié aux plans des architectes (des châteaux)”<sup>163</sup>. Angband, even if under siege for years, will never be taken or only by the divine power of the Valar. Visible from afar, surrounded by the wilderness, the fortress of Morgoth dominates the north of Beleriand. Hence, more than with any other construction in Arda, Morgoth folded the earth to make his lair, raising mountains, digging abysses, linking the pattern of the castle and its architect to the constructions of Morgoth. In fantasy the pattern of the castle implies a vast fortress with countless chambers such as Angband and Utumno. About the castle of fantasy it is said: “la grand-salle, l'aula, donne toujours l'échelle des lieux [...] (et) participe donc pleinement de l'effet d'écrasement qui saisit les visiteurs des châteaux.”<sup>164</sup> Thus the hall of Morgoth is representative of his world: “they came to the seat of Morgoth in his nethermost hall, that was upheld by horror, lit by fire, and filled with weapons of death and torment.”<sup>165</sup> Plus, it is said about the castles of fantasy: “(ils) sont en outre de véritables labyrinthes [...] (en) mouvement perpétuel”<sup>166</sup>. Hence, Angband is truly a fantasy castle for its mines and tunnels are perpetually dug in the subterranean world and the only way to descend into its bowels is by “labyrinthine stairs”<sup>167</sup> with many secret doors.

Armours and weapons are the lot of the fantasy genre<sup>168</sup>. From medieval influences, sword, shield, spear, bow or hammer are the main weapons used by either heroes or enemies. Of course Morgoth owns such artefacts, symbol of his power and evil. In the dictionary we are introduced to this idea: “Hautes en couleurs, les armes de fantasy [...] ont donné naissance à des images frappantes, des armes dantesques brandies par des héros surhumains”<sup>169</sup>. In *The Silmarillion* this idea of dantean weapons, often larger and bigger than the holder is found only with the character of Morgoth. Indeed, the heroes of Tolkien own medieval influences which pushes them to be as realistic as possible and only the gods can master such king of

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163 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 52.

164 *Ibid.* p. 53.

165 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 180.

166 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 53.

167 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 180.

168 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 29.

169 *Ibid.*

weapon. Morgoth, in addition to his shape of dark lord, wields Grond, the Hammer of the Underworld, which is a great mace and his chief weapon in battle. Giant hammer that Morgoth swung “down like a bolt of thunder”<sup>170</sup> and able to “rent mighty pit in the earth, whence smoke and fire darted”<sup>171</sup>, Grond is the ideal weapon of fantasy: powerful, imbued with dark magic and wielded by a dark lord. In addition to his weapon, Morgoth bears a vast shield, unblazoned and dark, symbol of his power and his black armour gives him the shape of a mighty tower, covered by his crown of iron. His weapon and armour accentuates then his image of a dark lord of fantasy.

Furthermore, the creations of Morgoth are not limited to fortresses and weapons but also to living creatures. Even though he does not hold the power to create life in its own, Morgoth managed to corrupt and transform the creatures of Ilúvatar to his own will, those creatures are the basis of the figure of the monster in fantasy. Indeed the genre implies at once the presence of monsters such as Goblins, Orcs or Trolls whom the heroes will have to deal with as it is said: “des êtres maléfiques que les héros auront à affronter pour accomplir leur quête”<sup>172</sup>, in order to progress. They are recurrent figures in fantasy which characterise the story as a faerie. In the work of Tolkien, all the monsters, all the evil creatures in Arda found their uttermost origin in Morgoth. The Orcs are evil parodies of the Elves while Trolls are the ones of the Ents. Eager to destruction and death, the Orcs form the main armies of Morgoth and later Sauron. Of course they are the enemies of the free peoples of Arda and ever are the opponents of the heroes, answering the slightest wish of Morgoth.

Among all the monsters of the fantasy genre, there is one that sits above all else: the dragon<sup>173</sup>. In the dictionary of Anne Besson, it is said: “la seule présence (de cette créature) sur une couverture ou une jaquette signale son appartenance au genre.”<sup>174</sup> In *The Silmarillion*, the dragons were first created and bred by Morgoth which directly sets the character, and the book, in the genre. The Christian representation, of which fantasy is much inspired, presents the dragon as such: “une incarnation du mal”<sup>175</sup>. An embodiment which can be seen in *The Silmarillion* with the role of the dragons as monsters of Morgoth. Plus, The figure of the dragon took many different forms with time as it is said in the dictionary: “Il faudrait y ajouter les serpents de mer, vers géants, ophidé et sauriens divers qui peuplent les contrées de la

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170 J.R.R. Tolkien, *The Silmarillion*, op. cit. p. 154.

171 *Ibid.*

172 Besson, Anne. *Dictionnaire de la Fantasy*. op. cit. p. 254.

173 *Ibid.* p. 94.

174 *Ibid.*

175 *Ibid.*

légende.”<sup>176</sup> This multitude of forms is to remind us the number of different types of dragons that Morgoth created: cold drakes, fire drakes, winged or not. With the influence of the text *Beowulf*, translated and commented anew by Tolkien, the author imagines new types of dragons as it is said: “Tolkien imagine des dragons profondément mauvais, destructeurs par leur force, mais aussi par leur ruse sournoise et leur intelligence supérieure”<sup>177</sup>.

Indeed, Glaurung in *The Silmarillion* is of this kind, for he puts Túrin under a spell and with his cunning words he torments his sister before taking the treasure of Nargothrond for himself. Hence, the dragons of Morgoth are truly a mirror of his evilness. This pattern of the dragon as a very clever and cunning creature is now part of the figure of the dragon in fantasy, even if the creature does not hold the symbolic of evil in some case. The dictionary of Anne Besson is clear: the dragon is not a brutal beast but a creature of superhuman intellect that can be evil or not, such as Glaurung the father of dragons is evil. The different influences of the genre set the dragon as the ideal figure for the hero to defeat in order to prove his worthiness. In *The Silmarillion*, it is with Túrin that we find this idea for he was the one to kill Glaurung in order to avenge his family and himself.

We saw that the creations of Morgoth are deep anchored in the fantasy genre and indeed for most of them are the main influences of modern fantasy in matters of evil such as the Orcs or the dragons. But more than his creations, what defines Morgoth as a fantasy character, as a dark lord of fantasy, are his actions.

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<sup>176</sup> Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 95.

<sup>177</sup> *Ibid.*

### 3. *The Actions of Morgoth*

Morgoth is the evil character of the dark lord in fantasy. His creations are the mirror of his will and they carry his evilness. Thus, as a dark lord Morgoth will inscribes his actions in the same way he made his creations: evil.

Firstly, we saw that the dark lord in fantasy (and his servants) was subject to be part of a quest for the hero, either as opponent or final adversary<sup>178</sup>. It is said about the theme: “(c'est) un des grands ressorts dramatiques dès les origines de la fantasy”<sup>179</sup>, hence taking its roots into mythological influences from Greek to Asian. In the work of Tolkien, Morgoth is a central character in the theme of the quest for more than an antagonist, he is the owner of the great treasure of Arda coveted by all: The Silmarils. In fantasy, it is said about the quest: “(la quête est) bien souvent au coeur de l'intrigue (et) est la plupart du temps imposée à un personnage et non choisies.”<sup>180</sup> The hero (or heroes) goes on a quest to either save the world, find an artefact or destroy an other. It is easy to find the correlation with Morgoth: he is the thief who stole the Silmarils from Aman, thus triggering the quest of the Noldor to take them back and leading to the Wars of Beleriand. He is also the opponent in the quest of Beren to stole a Silmaril in Angband. Hence we see that Morgoth holds different roles in the theme of the quest in fantasy, either as triggering it or as part of it.

Plus, the theme of the quest implies a progress in time: “(la quête) peut durer quelques jours, quelques mois, quelques années ou plusieurs siècle, impliquant les efforts collectifs de toute une civilisation”<sup>181</sup>. An idea which can be see in the quest of the Silmarils stolen by Morgoth which lasted hundred of years and needed the efforts of the whole civilization of the Noldor. In addition, the quest also implies a journey: “la quête implique le plus souvent un voyage [...] semé d'embûches”<sup>182</sup>. In *The Silmarillion*, this journey is always part of the quest involving Morgoth. Indeed, in order to get close to his domain it is necessary to travel through perilous deserts and forests inhabited by his creatures or to cross the great sea and the frozen regions of the north. This idea of isolation is the one found in the pattern of the dark lord and thus, we can see both the theme of the quest and of the character as connected.

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178 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 337.

179 *Ibid.*

180 *Ibid.* p. 338.

181 *Ibid.*

182 *Ibid.*

We saw that the main goal of the character of the dark lord in fantasy was the dominion or the destruction of the world. Through a powerful magic or numerous monsters and armies, the dark lord will wage a war against the world<sup>183</sup>. In *The Silmarillion*, the first action of Morgoth in Arda is to wage war against his brethren. Later, when returning with the stolen Silmarils from Aman in Beleriand, he instantly sends forth his armies of Orcs to attack and take control over the elvish kingdoms. Plus, his reign is inscribed in the History of the world as a succession of battles and wars such as the Wars of Beleriand which began with his return from Aman and ended with his overthrowing. In fantasy, the theme of war is omnipresent. Indeed, the many influences of the genre, being medieval or antique, are overwhelmed by war: weapons, chivalry, siege, battle formation, all these elements forms an important element of fantasy<sup>184</sup>.

In *The Silmarillion*, the theme of war can not be avoided. Of course, the text is an account of the fate of the Silmarils and the wars to take them back from Morgoth, and indeed, as we find in *Dictionnaire de la fantasy*: “il semble que la guerre fasse partie intégrante de la veine traditionnelle de la fantasy”<sup>185</sup>. It is a dramatical motivation for the different characters of the story and it enables those characters, like in the pattern of the quest, to evolve, to progress in the story. Also, the theme of war in fantasy often has an impact on the time of the story: “(le motif) décrit un changement d’époque.”<sup>186</sup> Thus, in *The Silmarillion*, the War of Wrath is the last war of Beleriand which marks the end of Morgoth but also the end of Beleriand itself for the fight was so great that the land was broken and drowned into the sea. Hence, leading Arda to the Second Age. With the Two World Wars, the pattern of the war in fantasy changed. Hence, we can find this influence of the horrors of war in *The Silmarillion* for in this text Tolkien expresses his fears and memories of the industrialized first World War embodied by the armies of Morgoth in his work.

In addition to the theme of war, the one of the violence is also a feature of the character of the dark lord in fantasy<sup>187</sup>. Violence, war and weapons are closely linked in the genre and they are also the first images that we could attach to the fallen Ainu. With Morgoth, we find the theme of violence imbued to his world as it is said that about his throne can be found “weapons of death and torment”<sup>188</sup> and that “Many charred bones had there their

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183 Besson, Anne. *Dictionnaire de la Fantasy. op. cit.* p. 162.

184 *Ibid.* p. 163.

185 *Ibid.*

186 *Ibid.*

187 *Ibid.* p. 400.

188 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 180.



roofless grave; for many of the Noldor perished in that burning”<sup>189</sup> after the breaking of the siege of Angband and due to his fires. Thus, the main violences in Arda found their uttermost origin in Morgoth from the beginning in his rebellion in the Music to the End. In fantasy, as the dictionary explains: “la violence est plutôt le fait de l'adversaire: seul l'ennemi déploie une violence sans bornes et s'en délecte.”<sup>190</sup> Indeed, Morgoth is to be found here for, as we can see in the breaking the siege of Angband, he sent forth all his power and armies, emptying Angband to destroy his enemies.

Finally, we find the theme of the End<sup>191</sup>, which is a major point of the work of Tolkien. In his work, this End we find in fantasy is called an *Eucatastrophe* by the author, that is to say a positive ending close to the *happy ending* that we can find nowadays. In Anne Besson's *Dictionnaire de la fantasy*, Isabelle-Rachel Casta introduces the genre as inscribed in a background of end and birth, thus inscribing the genre in a cycle<sup>192</sup>. In the work of Tolkien the End, as we saw, is the culmination of Eä: the world is remade and the evil of Morgoth finally destroyed in a final battle between the forces of good and the forces of evil. A point which can be linked to the cycle of death and rebirth, for the world is remade. But it is not an eucatastrophe. Sooner in *The Silmarillion* we can find this idea of eucatastrophe with the War of Wrath and the overthrowing of Morgoth. Indeed, it is the triumph of good but the world is changed forever, Beleriand has been destroyed, which is the catastrophe found in the term. The eucatastrophe is the idea of a radical change in the world such as the breaking of Beleriand implying the defeat of Morgoth as the dark lord.

Quoting *The Monsters and the Critics* by Tolkien, we are told in *Dictionnaire de la fantasy* that this idea of eucatastrophe does not put aside the bad ending by instead it is levelled with the good one due to a miraculous twist in the story which will permit the force of good to triumph<sup>193</sup>, such as the call for help of Eärendil to save Beleriand and thus declaring the War of Wrath. But the eucatastrophe defers from the happy ending because in this case, evil is not completely overcome. Evil may be destroyed but it will return such as Sauron did after the fall of his master. This idea is close to the one of Leibniz, that evil is inherent to the world. Casta adds that if the eucatastrophe is a twist in the plot in favour of good which enables its victory at the end of the story, it does not leave behind the tone of evil,

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189 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 151.

190 Besson, Anne. *Dictionnaire de la Fantasy*. *op. cit.* p. 400.

191 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 143.

192 Besson, Anne. *Dictionnaire de la Fantasy*. *op. cit.* p. 143.

193 *Ibid.*

which will never really be defeated<sup>194</sup>. An element found at the end of *The Silmarillion* which well explains this idea of revival of evil:

Yet the lies of Melkor, the mighty and accursed, Morgoth Bauglir, the Power of Terror and of Hate, sowed in the hearts of Elves and Men are a seed that does not die and cannot be destroyed; and ever and anon it sprouts anew, and will bear dark fruit even unto the latest days.<sup>195</sup>

Hence, evil in the work of Tolkien can always find its way to the heart of all living creatures. Indeed, it is never really defeated for even after the fall of Sauron, the servants of both dark Lords can still be found hiding in Middle-earth and Morgoth is but only chained and imprisoned in the Void.

## 2. *Formalist Approach: the Character of Morgoth in the Folktale*

The genre of fantasy which we know today was born from many influences and notably the folktale or fairy tale. To understand the role and place of Morgoth in the genre of fantasy, it is significant to understand that fantasy takes its roots in fairy tales. Indeed, the first works of Tolkien, notably *The Hobbit*, were meant to be fairy stories before being part of a wider world. Thus, analysing the character of Morgoth not only as a character of fantasy but also as a character of folktale will enable us to understand its fundamental role in the two genres. To do so, we will use the work of Vladimir Propp, folklorist and scholar of the nineteenth century. Identified as a formalist, Propp is mainly known for his work on folktale of which he analysed the structure in order to find what is called their simplest irreducible structural units. From his studies over a hundred of fairy-stories, he found out that all had a common template and thus, of which all the stories of the genre were originating. In his published work *Morphology of the Folktale*, we learn of the structure of a fairy-story herewith of the role and place of its many characters. These elements will enable us to find the role and place of Morgoth in the fairy-stories and notably through the functionalities of the character in the folktale, then the character himself in the folktale and finally we will study a sequence of *The Silmarillion* thanks to Propp's method.

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194 Besson, Anne. *Dictionnaire de la Fantasy*. op. cit. p. 144.

195 J.R.R. Tolkien, *The Silmarillion*, op. cit. p. 255.

## 1. *Functionality of Morgoth in the Folktale*

In his work Propp, argues that from a fairy-story to another, names and traits of the characters change but what do not are the actions, the functionalities of those characters. Thus if a character shares the same functionalities than another from a different story, it is most likely that they refer to the same type of character<sup>196</sup>, but this point we will see afterwards. What concerns us here are the functionalities of Morgoth in *The Silmarillion* that can be correlated to the work of Propp on different folktales. Propp defines the function of a character as such: “Par fonction, nous entendons l'action d'un personnage, définie du point de vue de sa signification dans le déroulement de l'intrigue.”<sup>197</sup> Thus, the functions are the fundamental constitutive parts of the folktale because these functions of characters are the constant elements of the folktale whatever the way they are done or who do them<sup>198</sup>. In addition, Propp sets the succession of functions as always identical, following a strict structural rule: “La succession des éléments [...] y est rigoureusement identique.”<sup>199</sup> This last point will enable us to inscribe the character under study in the folktale thanks to its functions, that is to say that according to them, he will inevitably refer to only one type of character who performs a certain type of functions in a particular succession. Furthermore, this rule of succession enables Propp to identify the folktales with the same functions and thus to identify them as the same type of folktale. This point will enable us to determine the type of fairy-story in which the character of Morgoth is part of. Indeed, *The Silmarillion* is more complex than a fairy-story and thus it may be essential to note that some elements brought by Propp could not be assimilated to the work of Tolkien. But here it is not the full story of *The Silmarillion* which interests us, it is the character of Morgoth and his deeds as incorporated in the folktale. Hence, we will study the character and its functions as they appear in the book: as stories of their own.

The first function that we can assimilate with Morgoth according to the work of Propp is the one of the *interrogation*<sup>200</sup>: the character tries to obtain informations. According to Propp, this action in the folktale is made in order to discover where live other characters or to discover where is hidden or placed some precious objects. It can sometime be made by

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196 Propp, Vladimir. *Morphology of the Folktale*. Paris: Editions du Seuil, 1970. p. 29.

197 *Ibid.* p. 31.

198 *Ibid.*

199 *Ibid.*

200 *Ibid.* p. 39.

intermediaries<sup>201</sup>. In *The Silmarillion*, we find this situation at different times in the story. Since the creation of the hidden city of Gondolin by Turgon, Morgoth constantly seeks its place in order to attack it. Thus, we can find an inquiring dark Lord about Gondolin towards Maeglin when this one has been captured by the Orcs and even towards Húrin after his defeat in Nirnaeth Arnoediad where this one was bound upon a high place of Thangorodrim. We could also refer to this function in the chapter of the unchaining of Melkor where this one bend his will over the Silmarils of Fëanor.

Next, and following the function of the *interrogation* we find the one of the *information*<sup>202</sup>: the character receives informations about his victim. The character receives immediately an answer, often presented as a dialogue or the information can be given due to a negligence<sup>203</sup>. In *The Silmarillion*, this is due to the negligence of Húrin that Morgoth learns more about the location of Gondolin. Likewise, Morgoth learns about the location of the Silmarils in Formenos due to the negligence of Fëanor who kept them in the fortress to prevent anyone except his father and seven sons from approaching them.

The function of *deceit*<sup>204</sup> is another function of the folktale that can be given to the character of Morgoth. Here the character tries to fool his victim in order to seize it or its properties<sup>205</sup>. In order to do so, the character usually changes shape. In the folktale, this transformation can be either magical, a disguise or an imitation of the voice of another character according to Propp's examples. The function of *deceit* is made either through persuasion, through magical means or through misleading actions or violence<sup>206</sup>. In *The Silmarillion*, Morgoth often changes shape such as in the eighth chapter where the AINU takes the form of a dark lord before attacking Formenos. Questioning Maeglin about Gondolin, Morgoth will use persuasion and lies to push the Elf to betray the location of the city and its people. Years before, the fallen AINU used misleading means, by releasing Húrin under faked pity, in order to find out the location of Gondolin.

Moreover, another function in the analysis of the folktale is the one of the *mischief*<sup>207</sup>. The character harms one of the victim's family member or hold prejudice to one of them. According to Propp's studies, this function is one the most important of the tale. All the

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201 Propp, Vladimir. *Morphology of the Folktale*, op. cit. p. 39.

202 *Ibid.*

203 *Ibid.*

204 *Ibid.* p. 40.

205 *Ibid.*

206 *Ibid.*

207 *Ibid.* p. 42.

functions that appear before prepare for the coming of the function of the *mischief* or ease its apparition and the plot of the tale turns around this mischief that can take many forms in the folktale<sup>208</sup>. In *The Silmarillion*, the mischief is also the most important element of the plot. Of course, as we have seen in a different part, nothing would have happened without the first mischief of Morgoth. Of the many mischiefs that followed afterwards during the First Age we can assimilate them to the different forms that can take this function in the folktale, proving that this function can be assimilated to the character of Morgoth.

The first one presented by Propp is the character kidnapping a human<sup>209</sup>. This aspect can be linked to the kidnapping of the Elves in Cuiviénen and turned into Orcs in Utumno or of the many Elves and Men held prisoners in the mines of Morgoth or the kidnapping of Húrin by Gothmog, lord of the Balrogs and second general of Morgoth. The second aspect which can be assimilated to Morgoth is the one of the character stealing a magical object, besides, the violent loss of the magical auxiliary makes up a particular category of this kind of stealing<sup>210</sup>. This aspect is notably seen with the stealing of the Silmarils by the dark Lord. The violent aspect is also seen through the murder of Fëanor's father in order to get them and his reaction towards the Valar and Melkor, naming him Morgoth. Next, we find the aspect of the character stealing the light of day, found only once in his study according to Propp<sup>211</sup>. This aspect is to be found in *The Silmarillion* with the destruction of the Two Lamps, of the Two Trees and the hiding of the Sun and Moon with dark fumes by Morgoth. Another aspect is the one of the character achieving a stealing or a kidnapping of any kind<sup>212</sup>. This aspect in *The Silmarillion* we already seen it before.

In addition, we find the aspect of the character inflicting corporal harm<sup>213</sup>. This aspect is close to the one of the abduction that we have seen before for in the folktale, the corporal damages imply a stolen body part such as the heart that will end up retrieved by the hero. In *The Silmarillion*, Morgoth inflicts corporal damages to many other characters either in his mines or to his personal prisoners in the high places of Thangorodrim, but the harm made is never retrieved. Next, we found the aspect of the character who triggers a sudden disappearance<sup>214</sup>. It is generally the result of magical means of misleading actions. This aspect

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208 Propp, Vladimir. *Morphology of the Folktale*. op. cit. p. 42.

209 *Ibid.*

210 *Ibid.*

211 *Ibid.*

212 *Ibid.*

213 *Ibid.* p. 43.

214 *Ibid.*

can be assimilated to the murder of Fëanor's father by Morgoth who came to Formenos unseen thanks to the Dark of Ungoliant, which can be seen as the magical mean. This aspect can also be seen in the stealing of the Silmarils by Morgoth, who took them from Aman to Angband, wrapped in the Dark of Ungoliant.

The aspect of the character bewitching something or someone is the next aspect which can be linked to the character of Morgoth in the function of the *mischief*<sup>215</sup>. Propp argues on this aspect that it is often linked to another aspect of the function, thus, the character doing the mischief is often found doing several type of mischief. This plurality of actions in the function is also found with Morgoth who is often found doing several mischiefs to one character. Hence, in *The Silmarillion* Morgoth kidnaps Húrin and bewitches him in the form of a curse on him and his family. Following this idea of plurality of the mischief, we find the aspect of the character imprisoning another which is closely linked to the one of the kidnapping<sup>216</sup> such as, as we said earlier, with Húrin or the many Elves and Men imprisoned in Angband.

The last three aspects of the function of *mischief* presented by Propp which we can collate to the character of Morgoth are probably the major aspects of the character in *The Silmarillion*. The first one is the one of the character who orders the death of someone<sup>217</sup>. This aspect is found with the death sentence applied by Morgoth on Beren's head as well as Fingon's: "At length Morgoth set a price upon his head no less than the price upon the head of Fingon, High King of the Noldor"<sup>218</sup>. The second aspect is the one of the character murdering someone<sup>219</sup>. As for the aspect of the bewitchment, this aspect is often linked to others and serves to reinforce the plot of the story as Propp argues. In *The Silmarillion*, this aspect is found with Morgoth in two major point of the story: the murder of Fëanor's father in Valinor and the one of Fingolfin, one of the High King of the Noldor, in front of Angband. Finally, the last aspect of the function of the *mischief* that can be linked to Morgoth is the one of the character declaring war<sup>220</sup>. In Propp studies, this aspect can be either a real war or the desolation of the kingdom by a creature such as a dragon. In *The Silmarillion*, the many wars of Morgoth against either the Valar, the Elves or Men are the proofs of this aspect. Plus, the darkening of Valinor can also be seen as such because the kingdom of the Valar was plunged

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215 Propp, Vladimir. *Morphology of the Folktale*. op. cit. p. 44.

216 *Ibid.* p. 45.

217 *Ibid.* p. 44.

218 J.R.R. Tolkien, *The Silmarillion*, op. cit. p. 164.

219 Propp, Vladimir. *Morphology of the Folktale*. op. cit. p. 44.

220 *Ibid.* p. 45.

into darkness and chaos for a while. Here ends our exhaustive list of the different aspects of the mischief which can be correlated with Morgoth.

In the folktale, after the mischief, the character that can be linked to Morgoth according to their functions is found next with the function of the *fight*<sup>221</sup>. There is two different kind of fight which must be differentiated according to Propp: a fight which will led the hero of the story to get the object of his quest is referred as the function of the *fight*, in the other case, a fight which will led the hero to get an object that will help him fulfil his quest is referred as the first function of the *giver*<sup>222</sup>. In *The Silmarillion*, this fight which led to the fulfilment of the quest is the last fight of Morgoth: the War of Wrath where this one was overthrown. But we could also see the fight between Fingolfin as the function of fight but due to the death of Fingolfin, we see the limits of the studies of Propp when we study the work of Tolkien. Indeed, the complexity of *The Silmarillion* is one element which is important to consider when analysing the text, but this idea we will see afterwards in the study of sequences.

Thereafter we find the function of the *victory*<sup>223</sup>. In *The Silmarillion*, this victory is of course the overthrowing of Morgoth if we consider the full plot of the novel. But if we take the stories of each character apart, we can find others forms of victory such as with the defeat and death of the wolf Carcharoth against Beren or the defeat of Glaurung the father of all dragon against Túrin. Even if Carcharoth and Glaurung are not the same characters as Morgoth, it is important to note that they were both created by Morgoth in person and thus share a part of his power. To some extend, the defeat of his servants, particularly his greatest ones, can be seen as the defeat of Morgoth and his plot against the hero.

Finally, the last function that we can find attached to Morgoth as a character inscribed in the folktale is the one of the *pursuit*<sup>224</sup>. In this function, the character pursues the hero of the story who tries to go back to his starting point, either his house or the kingdom, after that he has achieved his quest<sup>225</sup>. In *The Silmarillion*, we find a good example with the flight of Beren and Lúthien from Angband after that they have stolen a Silmaril from Morgoth. When the two heroes flee from the Hell of Iron it said that “Bellow them suddenly thunder rolled, lightnings leaped upward, and the mountains quaked. Fire and smoke belched forth from Thangorodrim,

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221 Propp, Vladimir. *Morphology of the Folktale*. op. cit. p. 64.

222 *Ibid.*

223 *Ibid.* p. 65.

224 *Ibid.* p. 69.

225 *Ibid.*

and flaming bolts were hurled far abroad, falling ruinous upon the lands.”<sup>226</sup> Thus the power and wrath of Morgoth pursuing Beren and Lúthien can be seen as the function of *pursuit* in the folktale. Furthermore, they manage to escape thanks to the help of three Eagles who lifted them up during their escape which can be collated to the function following the one of the *pursuit*: the *assistance*. Here, the hero of the tale is saved from the pursuit of the villain or one of his servants by an auxiliary<sup>227</sup>, such as we have seen with the Eagles and thus establishing the flight of Beren and Lúthien as part of Morgoth function of *pursuit*.

Now that we have seen the function of the folktale which can be assimilated to the character of Morgoth, we will see now that these functions refers to a particular character in the folktale.

## 2. *The Character of Morgoth in the Folktale*

In the folktale, as Propp argues, there is no particular character attached to the functions given<sup>228</sup>. A character usually known as a giver can also be an antagonist for example. The character of Morgoth seems to be an exception. Being a major antagonist in the work of Tolkien we will now see, in a brief study, that from his functions Morgoth matches the character of the villain in the folktale. The villain in the structure of the folktale usually appears with the function of the *interrogation*<sup>229</sup>. This new character is qualified as the mugger of the hero and his role will be to trouble the peace of the family of the hero, to cause an unfortunate event or evil or a prejudice as Propp argues<sup>230</sup>. The folklorist adds that the figure of the villain can be either a witch, a dragon, a devil or a cruel mother<sup>231</sup>. Morgoth obviously refers to the villain as a devil and of course in *The Silmarillion* he is presented as such, as a dark lord. Plus, his main goal since the very beginning is to trouble the peace of Arda for his own designs but also to do evil to all the character that will oppose him. Thus, he clearly corresponds to the character of the villain as introduced by Propp.

In the folktale analysed by Propp, the mischief of the villain is sometimes motivated by its greedy, evil, envious and suspicious personality<sup>232</sup>. Hence, Morgoth shares the same

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226 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 182.

227 Propp, Vladimir. *Morphology of the Folktale*. *op. cit.* p. 70.

228 *Ibid.* p. 106.

229 *Ibid.* p. 38.

230 *Ibid.*

231 *Ibid.*

232 *Ibid.* p. 92.



personality than some of the villains presented in the work of Propp. Indeed Morgoth lusts for the Silmarils and is envious of the power of his brethren and their kingdom, not to mention his evil personality which we have already studied. But most of the time the mischief of the villain in the folktale is unmotivated as Propp explains<sup>233</sup>. Of course the villain is motivated but the motivation is not explained in the story<sup>234</sup>. Propp concludes on this point that old folktales do not refer to motivation and that this aspect is only a recent acquisition of the genre<sup>235</sup>. Tolkien being the author of a pivotal literature between the folktale and fantasy, we can assume that this aspect of the motivation of the villain is inscribed in fantasy.

From all these points, it is clear that Morgoth, more than a character of fantasy, can be seen as a character of folktale, of fairy-story and particularly as the character of the villain. Thus the dark Lord of Arda is the archetype of evil in fantasy, as we have seen, but also in the genre of the folktale according to Propp's theory. In order to complete this argument we will analyse a sequence of *The Silmarillion* following Propp's method.

### 3. *Analysis of sequences involving Morgoth*

We will now analyse a sequence taken from *The Silmarillion*, which forms a tale of its own, in order to prove our previous arguments but also that the theory of Propp can be applied to the work of Tolkien. Thus, proving the place of Morgoth as the figure of the villain in the folktale, in the same way that he was established as the figure of the dark lord in fantasy. In order to do so, we will use the example of analysis<sup>236</sup> given by Propp in *Morphology of the Folktale* as well as the part on the functions of the characters<sup>237</sup>. Due to the complexity and size of the text of Tolkien, we will need to resume the tale and only follow the ongoing of the plot which will enable us to find out the elements described by Propp and thus to see the role of Morgoth in the tale as the main villain. In addition, the goal of our study is not to explain the work of Propp in its wholeness, thus, we will keep on analysing exclusively the tale chosen in *The Silmarillion* according to the mere elements and terms we need to present Morgoth as the main villain of the plot of the folktale. Some functions that we will be talking

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233 Propp, Vladimir. *Morphology of the Folktale*. *op. cit.* p. 92.

234 *Ibid.*

235 *Ibid.*

236 *Ibid.* p. 117.

237 *Ibid.* p. 35.

about have not been explained in detailed in our previous parts but their names as well as their brief definitions will be sufficient enough to understand the ongoing of the structure of a folktale as presented by Propp.

The sequence under study is the tale of Fëanor and of the fate of the Silmarils. In addition, it is essential to note that the tale of the Silmarils is more vast than a common tale and owns many sub-plots before it is completed which can not be studied here because they are too vast and could be the subject of a full research. Thus, as we said, we will keep on resuming the story following the structure given by Propp. Furthermore, in *The Silmarillion* the quest of Fëanor is suddenly stopped because of his death, but his sons who had vowed to take back the jewels like him pursue the quest in his name. This is why we find a time gap between the functions of *brand* and of victory in our analysis. This gap do not move the work of Tolkien away from the one of Propp for in *Morphology of the Folktale*, this pause, this gap in the plot is subject to sub quests for the hero who can be embodied by different characters, such as in *The Silmarillion*. As we said, what interests us is the fate of the Silmarils in the tale of Fëanor, thus we will not take into account the events between the time of the *brand* and the one of the *victory*. At last, in *Morphology of the Folktale*, Propp argues that usually, folktale ends after the function of the *Assistance*. Indeed, the hero has completed his quest and defeated the villain, thus, the plot has no reason to go on. But, as Propp says, this is not always the case and it may come that the hero has to go on a new quest, that the villain appears again or else. Hence, a new mischief brings a new sequence in the structure of the tale. This idea can be seen in *The Silmarillion* because, indeed, after the fall of Morgoth and after the Silmarils are taken back, the story of Arda does not end. In order to simplify our analysis, we will stop our study after the time of the *Assistance* which ends our tale.

In order to simplify the analysis, we will use a table indicating the summary of the tale, its functions according to Propp's theory and the aspect which correspond to the functions of the tale. These last ones being the form, the aspect of the function as it appears in the text according to Propp's theory. This table indicates the part played by Morgoth in the structure of the tale as described by Propp.

<b>The tale of Fëanor and of the fate of the Silmarils.</b>	<b>Functions of the characters: fundamental constitutive parts of the tale.</b>	<b>Aspect of the function.</b>
Fëanor was born during the Noontide of Valinor.	<i>Initial Situation</i>	∅∅
Fëanor's mother leaves him and his father after his birth due to her tired body. She sleeps in the forest of Lórien afterwards.	<i>Remoteness:</i> one of the family member moves away from the house.	Death of one of the parents.
Melkor is freed. Fëanor forges the Silmarils. Melkor starts to put lies into the hearts of the Noldor, who will spread them, in order to push them to rebel against the Valar.	<i>Interrogation:</i> the villain tries to get informations.	Interrogation through intermediaries.
The Noldor, and thus Fëanor also, listen to the lies and start to trouble the peace of Valinor.	<i>Information:</i> the villain receives informations about its victim.	the villain receives immediately a response.
Fëanor is banished from Tirion due to his rebellious words and actions.	<i>Interdiction:</i> the hero is forbidden to do something.	Interdiction to enter some place.
Melkor faces Fëanor in front of Formenos and implies that the Silmarils will never be safe in the realm of the Valar.	<i>Deceit:</i> the villain tries to deceive its victim in order to seize it or its possessions.	the villain uses persuasion in order to fool his victim.
Fëanor kicks out Melkor from the fortress but is induced by his words and does not bring the jewels to the festival of the Valar.	<i>Complicity:</i> the victim let itself be deceived by the villain and thus helps its enemy without knowing it.	The hero leaves the object desired by the villain behind.
Melkor murders Finwë father of Fëanor, steals the Silmarils and flee from Aman.	<i>Mischief:</i> the villain harms one of the family member or hold prejudice against it.	The villain steals some precious object and murders of one of the family member.
Messengers from Formenos come to the festival and inform Fëanor of the mischief who goes back to Formenos.	<i>Mediation:</i> the news of the mischief is brought to the hero and he is left to act.	The news is disclosed by one of the family member.
Fëanor rebels against the banishment and gather the Noldor in Tirion.	<i>Transgression:</i> the interdiction is broken.	It corresponds to the aspect of the interdiction, here to enter the house.
Fëanor curses Melkor and vow to pursue every being in possession of a Silmaril.	<i>Start of the opposition to the villain:</i> the hero accepts the quest or decides to to act.	The hero decides to act.

Fëanor and his followers depart from Valinor in order to pursue Melkor and take back the Silmarils.	<i>Departure:</i> the hero leaves his house.	The hero goes on a quest.
Fëanor and his group attack the Teleri who refuse to give them their boats in order to cross the Great Sea.	<i>First function of the giver:</i> the hero undergoes a trial, an interrogation, an attack which prepares him to receive an object or a magical auxiliary.	A hostile being starts a fight with the hero.
Fëanor and his group slaughter their kin and have access to the boats.	<i>Reaction of the hero:</i> the hero reacts to the actions of the future giver.	The hero succeed the trial.
Fëanor and his groups steal the boats.	<i>Receipt of a magical object:</i> the object or magical auxiliary is made available to the hero.	The object is stolen by the hero. He appropriates the object of the fight.
Fëanor and his group cross the sea by the Helcaraxë and finally arrive in Beleriand. They journey while fighting the Orcs towards Angband.	<i>Journey:</i> the hero is carried, led or brought near the place where is found the matter of his quest.	The hero journeys by sea or land.
Fëanor fights alone Gothmog, Lord of the Balrogs, his sons and brethren come to his aid and make Gothmog flee.	<i>Fight:</i> the hero and the villain face each other in a fight.	Fight in open field.
Fëanor is deeply wounded and pass to his sons his oath and quest.	<i>Brand:</i> the hero receives a brand.	The brand is etched on his body.
Later, at the end of the First Age, Morgoth is overthrown and defeated during the War of Wrath.	<i>Victory:</i> the villain is defeated.	The villain defeated in open field.
The Silmarils are taken back by the forces of the Valar in the War of Wrath and the last two sons of Fëanor, Maglor and Maedhros, manage to get hand on them.	<i>Repair:</i> the initial mischief is repaired.	The matter of the quest is taken by several characters at the same time, their actions quickly taking turns.
The last two sons flee in the wild with one Silmaril each.	<i>Return:</i> the hero returns from his quest.	The hero returns to his people.
The oath of Fëanor is cursed because of his actions against his kin (because of Melkor and his actions and lies) and his last two sons are pursued by it.	<i>Pursuit:</i> the hero is pursued.	The chaser requires the culprits.
They get rid of the Silmarils in sea and fire. Maglor throw his into the sea and Maedhros cast himself with the jewel	<i>Assistance:</i> the hero is aided.	It is hard to find an aspect which can be linked to this

<p>in a pit of fire. The last Silmaril is send in in the sky.</p>		<p>particular situation due to the death of Maedhros. We could name the aspect of the hero saved while his life is threaten because Maglor decides to throw away the Silmaril in order to avoid a death like the one of his brother.</p>
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In this table we found again Morgoth as the main villain of the story and we can see that he is anchored in the same sphere of actions as the character of the aggressor, that is to say the aspects of the *mischief*, the *fight* and the *pursuit*. Plus, as we said earlier, he appears as a villain only twice in the tale: for the mischief and for the fight which corresponds to what we saw earlier about when the villain appears in the folktale. Thus, following this analysis we can establish Morgoth as the character of the villain in the folktale and furthermore as an archetype of evil in this genre.

### 3. *Semiotic Analysis of the Character of Morgoth*

Semiotic studies are concern with the study of signs in general and more particularly in the process of creating meaning. Semiotic has been a point of interest since antiquity such as with the theory of Platon's cavern and knew a new success, as we said, at the end of the twentieth century. Tolkien being a linguist, it seems essential to study the signs referring to Morgoth in order to establish him as an archetype of evil.

In order to do so, we will use the work of the linguist Ferdinand De Saussure, father of the structuralist approach in linguistic. In semiotics, signs can take the form of words, images, sounds, gestures, etc. thus, semiotic will consists in the study of these signs and what they stand for. Plus signs can be universal to all reader or viewer but they can also be specific to a particular culture. Hence, the study of the signs of evil in *The Silmarillion* will involve the knowledge of the background of the work and the influences of Tolkien which are, as we have seen, mostly Catholic and Occidental. With the study of semiotics in the late 1960s the idea

that a text was only words was rejected, the study of signs enabling the study of the meaning of the text. Hence, a text being an assemblage of signs constructed and interpreted with references to the conventions of a particular genre, as of now we can establish this genre as the one of fantasy and its many influences in medieval history, religion or mythology regarding *The Silmarillion*. In order to present the signs of evil in *The Silmarillion*, we will first study the linguistic view of these signs then, we will study these signs and their significance according to the particular context of the fantasy genre.

### 1. *Linguistic Views of the Signs of Evil*

First of all, we will study some of the linguistic signs of evil presented in the language of the author, that is to say English. It is now important to introduce the work of De Saussure on semiotics. According to the linguist when we refer to signs we refer to a distinction between a *signifier* and a *signified*. The term *signifier* refers to the symbol used and the term *signified* is the object it refers to<sup>238</sup>. To give an example, if we take the Silmarils, the *signifier* is the word used to name the great jewels and the *signified* is the object itself, that is to say the Silmarils. Therefore these two signs are always associated: the Silmarils as object and their name. Furthermore, De Saussure presents also the terms of *Denotation* and *Connotation*<sup>239</sup>. The first one refers to the literal, explicit meaning and the second refers to the personal, the social meaning as found in a particular cultural and historical context as well as with personal experience.

Thus, in the work of Tolkien, the Sun as an astral entity we all know is the *Denotation* and the Sun as one of the two lamps made by the Valar after the poisoning of the Two Trees which was placed in a vessel made by the Vala Aulë and guided through the heavens by the Maiar Arien is the *Connotation*. Through these aspects, we will study some of the signs which refer to Morgoth and his evil in English, then in Elvish. The first sign of evil that we can analyse is the one of the title given to Morgoth as Dark King. This term is used to name Morgoth and is often linked to others such as the one of dark Lord. In the context of *The Silmarillion*, these terms refer to Morgoth which can be seen as the *Denotation*, the *Connotation* of these terms are to be found in the Catholic context of the author, a point which

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238 De Saussure, Ferdinand. *Cours de linguistique générale*. Paris: Payot & Rivages, 2005. p. 99.

239 "Semiotics: an overview", class lecture of Pr. Mohamed Saki, M1 TILE, UFR LSH Brest, 12 September 2018 (unpublished).

we already saw in our part on the religious approach of evil. Indeed, the *Connotation* of dark Lord or King is Satan, the devil in *The Bible* of which Morgoth owns a major influence. We can also find this aspect in the title of Enemy given to Morgoth as well as the one of Master of Lies as a signs of evil which is also a title given to Satan. It is also essential to note that, as we saw, the figure of the dark lord is a recurrent figure in fantasy as it is said in *Dictionnaire de la fantasy*. Thus the *Connotation* of this sign of evil is also to be found in the context of the genre of fantasy.

In the same way, as we saw in the Manichean approach, the side of evil is characterised by its Darkness, it is a world of shadows governed by Satan as its king. Hence, in *The Silmarillion*, the Dark and the Shadow both refer to the Darkness of Melkor, it is their *Denotation* while their *Connotation* is to be found in the Manichean view of evil which we just stated. In addition, as well as the figure of the dark lord in fantasy, this character is often inscribed in these signs of evil, adding the context of fantasy to the *Connotation* of the Dark of Morgoth as a sign of evil. This analysis of signs can also be found in the core of *The Silmarillion* itself. That is to say in the context of the characters in their reality. Thus, the title Iron Crown or Dark Throne given to Morgoth refer either as Morgoth himself and his influence but also to his crown where he set the Silmarils and to his throne in Angband. The *Connotation* of these signs is inscribed in the cultural knowledge of the characters who know about his crown and his throne and thus employ these terms to describe his power in Beleriand, we can also name the title of Back Hand given to Morgoth which can be added to this *Connotation*. Finally, the term Underworld is used in *The Silmarillion* to name Hell, in opposition to Middle-earth and Over-Heaven. In addition, if we study this sign through the prism of Manichaeism we can add the aspect of the Manichean division of the world to the *Connotation*. Indeed, this Underworld opposed to Middle-earth and Over-heaven is the lair of Morgoth and his creatures such as the Darkness of Satan in the Manichean approach is opposed to the Light of God. We find here the literal Manichean opposition between good and evil.

Next, we can find in the language of the Elves *Connotations* of both the world of the reader and the one of the characters. The elvish names are often very literal, that is to say they are names which describe the thing they are attached to. To give an example: the Orcs in Sindarin are named Glamhoth which means din-horde for the Orcs are a race of hate in the world of Tolkien, they destroy all that is fair and are described as a raucous kind. In *The*

*Silmarillion*, Anfauglir is the Sindarin name of the wolf Carcharoth. It means great-thirst-jaws in English which is the *signifier* while the wolf itself is the *signified*. The *Denotation* here is the literal translation of the name that is to say great-thirst-jaws while the *Connotation* is inscribed in the world of the Elves because this sign refers to the great wolf of Morgoth Carcharoth. The social and cultural context found here is the one of the Elves which is their knowledge of the wolf and his master.

In *The Silmarillion*, we learn that Carcharoth was bred by Morgoth personally and that he swallowed the Silmaril stolen by Beren, he was burned from inside and not water could stop the fire in his belly thus explaining his name of great jaws always thirsty, due to the burning of the Silmaril. In the same way we find Anfauglith which is the name given to Ard-Galen, the great green plain before Angband after the fire of Morgoth destroyed it, thus it means great-thirst-ash in Sindarin. The *Denotation* we find here is the literal description of the plain which we find in its name. The *Connotation* is linked to the cultural and personal context of the Elves who named it this way after Dagor Bragollach, the battle of quick-flame. Indeed, it was during this battle that the siege of Angband was broken when Morgoth send forth great fires and poisonous fumes from his fortress, thus burning all the land to ashes and filling it with bones and reeks of poison mortal to all of his enemies. It became a great desert instead of a green land. In this context we find the name of Anfauglith as a desert of ash where thirst is all that awaits all that cross it.

Anfauglith owns other names which can be assimilated to this *Connotation*: Dor-Nu-Fauglith meaning land under thirst-ash in Sindarin which can be linked to the contextual meaning of Anfauglith and Dor Daedeloth meaning land of Shadow-horror in Sindarin which refers not only to Anfauglith but in extend to the area around Angband. The *Connotation* of Dor Daedeloth is of the same kind of the one of Anfauglith, the cultural and personal context known by the Elves is the one of the evil of Morgoth which fills the land around his fortress. Next, we find the names given to Melkor. He is named Morgoth by Fëanor after the murder of his father and theft of the Silmarils which means Dark Enemy in Sindarin. The *Connotation* we find here is linked to the context of Fëanor for Melkor slew his father and stole his most precious treasures. Fëanor is mostly to know the past wars between the dark Lord and his brethren, hence we can assume that he named him Dark Enemy due to his evil deeds against the Children of Ilúvatar. In the same way we find Bauglir, the epithet given to Morgoth, constrainer in Sindarin.



The *Connotation* of this sign of evil is linked to the way Morgoth rules over his servants and the way he wants to rule the world: he forces his way towards the domination of Arda against the free people and his brethren. At last we find Belegurth meaning great-death in Sindarin which is a name given to Morgoth due to his innumerable assaults on the Elves which made countless deaths, which is the *Connotation* of this sign of evil. Furthermore, we find another sign of the evil of Morgoth in the name of the Balrogs. In Sindarin Balrog means power-terror or demon of might. The *Denotation* we can find here is the literal meaning of the name, indeed they are powerful being surrounded by evil. The *Connotation* that is to attach to these names is culturally inscribed in the context of *The Silmarillion*: the Balrogs are Maiar, thus powers made by Ilúvatar, and they follow Morgoth and his evil explaining their darkness, their terror. But we can also find a *Connotation* inscribed in the religious influence of the work of Tolkien. Indeed they are described as demons due to the darkness about them and the fact that they follow the devil of Arda: Morgoth. Their name in Quenya is Valaraukar meaning demon of might which also refers to either the *Connotation* inscribed in the world of *The Silmarillion* and in Christianity. Other servants of Morgoth who share his power are the Urulóki meaning hot serpents in Quenya and they are the dragons of the world of Tolkien. The *Denotation* of this sign of evil is the literal description, the dragon itself that is to say a sort of giant lizard, with no wings and breathing fire. The *Connotation* is to be found in the context of *The Silmarillion*: the first dragon who appeared in Beleriand was Glaurung, a giant lizard-like creature breathing fire, thus his race was named Urulóki, hot serpent, due to the context in which the Elves saw him first. At last we find the sign of evil referring to the three-peaked mountain raised by Morgoth: Thangorodrim. It means oppression-mountain-group in Sindarin, its *Denotation* is the mountain itself, as seen by the Elves while its *Connotation* is the inscribed in the context they saw it: as a great mountain, head of the realm of Morgoth, symbol of his power as a constrictor.

Now that we have seen some of the linguistic signs of evil given to Morgoth in *The Silmarillion*, we will now study the signs of evil which can be found in the novel and referring to Morgoth.

## 2. *Signs of Evil in The Silmarillion and their significance*

In our part on the linguistic signs of evil, we saw that Morgoth was established as the great evil even into the language of the people of Middle-earth themselves. More than in linguistic, Morgoth owns signs of evil in his very appearance or doings. Thus, he takes the shape of a dark lord, clad in black iron, tall as a tower to face Fingolfin which are signs of his power and darkness. In order to establish Morgoth as an archetype of evil in *The Silmarillion*, we will focus on the analysis of one sign which is one of the major ones surrounding the character of Morgoth in terms of evil. This sign is the one of the colour, and more particularly the black one. It is said in *The Silmarillion*: “And he issued forth clad in black armour; and he stood before the King like a tower, iron-crowned, and his vast shield, sable unblazoned, cast a shadow over him like a stormcloud.”<sup>240</sup> Here is to find most of our point on the colour of Morgoth. He is mostly clad in black and his shield, sable unblazoned, is his symbol. In *The Silmarillion*, the several houses of Elves, Men or Dwarves owns emblems, insignia used on banners or shields and it is the same with the forces of evil. While Sauron owns the famous Red Eye, Morgoth owns the emblem found on his shield: sable unblazoned. The cultural and historical context that is to be found behind this is both inscribed in the world of the reader and the one of the characters.

In order to study the colour of Morgoth, we will use the work of Michel Pastoureau: *Noir. Histoire d'une couleur*. Mr. Pastoureau is a French medievalist historian, specialized in the study of the history of colours, emblems and heraldic symbols. Thanks to his work on the colour black, we can study the cultural and historical influences which led Tolkien to choose black as a sign of Morgoth, of evil. In Occident, night and its colours is associated to death and evil since centuries, as is the dark in the work of Tolkien. The servants of Morgoth all live and act under the cover of night and dark, such as with the poisoning of the Two Trees killed under the cover of the Dark of Ungoliant or of the many Orcs raid send by Morgoth at night or under the cover of his dark fumes, hiding the sun. Michel Pastoureau in his book *Noir. Histoire d'une couleur* introduces the colour black as the first of all colours, a primordial colour but negatively connoted: it is the colour of what was before the Creation of God, before Light which is life. Black is not fit for life and is thus evil<sup>241</sup>.

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240 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 153.

241 Pastoureau, Michel. *Noir. Histoire d'une couleur*. Paris: Seuil, 2008. p. 20.

Pastoureau explains that in the first religions and mythologies of the world, the colour black appears as a symbol of fertility and of the origin of all things. In most of them, the colour is associated to particular places such as the caverns, tunnels or the underworld<sup>242</sup>. Even though these places are deprived of light, it said: “ce sont des creusets fertiles, des lieux de naissance ou de métamorphose, [...] des espaces sacrés qui ont sans doute constitué les plus anciens lieux de culte de l'humanité.”<sup>243</sup> Indeed, Pastoureau argues that these places were the place of all sort of magical or religious rites<sup>244</sup>. Later, caverns and caves became the place for the heroes or gods to be born or places of metamorphosis or even places for a test or to gain something<sup>245</sup>. This idea can be linked to what we already saw in our part on fantasy and the pattern of the cavern. But this aspect of the cavern as a place of fertility is not to be linked to the character of Morgoth. Indeed, as Pastoureau says, the pattern of the cavern and its colour as evil appears later in the old mythologies<sup>246</sup>. The underworld became ambivalent and got a negative aspect as it is said: “tout les lieux obscurs et matriciels sont aussi des lieux de souffrance et de malheur”<sup>247</sup>, such as the strongholds of Morgoth are in Angband and Utumno. These places became filled with monsters, prisoners, dangers bathed in darkness, in black<sup>248</sup>, which can be collated to the description of Angband we already saw.

Next, the colour is inscribed, as Pastoureau explains, in the cultural context of Man. All religions, mythologies are bathed in what he calls a primordial fear, the fear of the dark, of night characterised by the colour black<sup>249</sup>. Thus, the primordial colours like black, which are green, red or white, are to be found in most of all cultures and societies of Man. In these cultures, black always refers to night, a night which brings fertility but mostly anxiety and destruction<sup>250</sup>. This point is to be linked to *The Silmarillion* for if Ilúvatar creates Eä from and in nothing, this first darkness is a place of doubt for Melkor as an Ainu but also a place of fear for the people of Arda which saw it as the power of Melkor, who is its vehicle, or as the origin of the Darkness of Ungoliant and her children.

Moreover, as we said, black as a colour is to be linked to death. In the old myths, it owns no connotation to evil or the devil for it is the place of the dead, a place found in *The*

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242 Pastoureau, Michel. *Noir. Histoire d'une couleur*, op. cit. p. 22.

243 *Ibid.*

244 *Ibid.*

245 *Ibid.*

246 *Ibid.*

247 *Ibid.*

248 *Ibid.*

249 *Ibid.* p. 24.

250 *Ibid.*

*Silmarillion* in the name of the cavern of Mandos where the dead awaits their rebirth. As Michel Pastoureau argues, black needs to wait the rise of *The Bible* to get its evil connotation<sup>251</sup>, which is also the main influence of Morgoth as we already said. It becomes the colour of the death but negatively this time, it is the colour of the chaos before the Creation, the colours of the sinners<sup>252</sup>. Hence, it is associated to evil because it is opposed to the light of God<sup>253</sup>. Often associated with the red of the fires of hell, it is said that “le noir apparaît comme la couleur de Satan, du péché et de la mort.”<sup>254</sup> In *The Silmarillion*, Morgoth is the great-death and the first murderer of the world. The black he assumes as his colour is to be linked to the idea of Pastoureau that black is the colour of death. Moreover, the red of the fire of Angband is to be linked to the black of Morgoth as well as the fire of the Balrogs and their black darkness which are a part of his power. In other ancient religions or mythologies, as Pastoureau says, hell is more monochromatic<sup>255</sup>. Often the red of fire is not present but replaced by frost and ice. Fire is too close to light to be part of hell and damnation, thus hell is all dark and cold, deprived of heating light<sup>256</sup>. This idea can be linked to Morgoth who wields ice and darkness during the War of the Powers at the beginning of days or when he made the Ered Engrin crowned in ice in the north of the world.

Pastoureau, introducing the idea of the evil black, says: “l’époque féodale est en Occident la grande époque du “mauvais noir”.”<sup>257</sup> Black, due to many Christian authors, priest or the rise of chivalry, will become little by little the colour of the devil<sup>258</sup>. From the Christian Middle Age, the idea of an evil entity opposed to God appeared: the devil, the fallen angel who represents the forces of evil<sup>259</sup>. Black, originally opposed to white, became the colour of the devil due to its opposition with the colour of light. The colour black became from the eleventh century the colour of Satan and his demons in all arts and literatures of Occidental Christianity<sup>260</sup>. Black is the colour of the darkness of hell and its atmosphere of oppression and punishment<sup>261</sup>. Living in darkness, Morgoth punishes the ones who dare attack him such as Húrin or Maedhros and his name: the constringer, is the perfect definition of his realm

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251 Pastoureau, Michel. *Noir. Histoire d'une couleur, op. cit.* p. 30.

252 *Ibid.*

253 *Ibid.*

254 *Ibid.*

255 *Ibid.* p. 32.

256 *Ibid.* p. 33.

257 *Ibid.* p. 46.

258 *Ibid.*

259 *Ibid.* p. 47.

260 *Ibid.* p. 52.

261 *Ibid.*

characterised by the perpetual black he leaves in. Black becomes the colour of the clothes of the devil and his followers, such as Morgoth and his servants, clad in black. The devil himself is often painted black in the many arts representing him which can be collated to the fact that Morgoth had his hands burned black by the light of the Silmarils. Pastoureau adds that the fact that Satan wears the colour himself intensifies the evilness of the colour<sup>262</sup>, which can be linked to the fact that Morgoth was always clad in black, either in armour, in a cloud of darkness to meet the first Men or as a black rider to meet the first Elves.

At last, we find the heraldic meaning of the colour which is found on the shield of Morgoth. Pastoureau, specialized in the study of heraldic history, that is to say the history of emblems and crests, explains that these emblems are usually composed of two elements<sup>263</sup>. Here we find the first difference with Morgoth who owns only one: the colour black. He has no symbol such as a lion or an eagle or maybe his crown but not on his crest. This disparity can be seen as a sign of evil, assuming completely the meaning of his colour: darkness. His emblem is said to be sable, unblazoned that is to say black and without any symbols. Sable being the term used in heraldic studies to describe the colour black<sup>264</sup>. This aspect of Morgoth, his emblem, is to be seen through the prism of fantasy which took its influences in medieval codes of war or nobleness. Knowing the background and influences of the genre, it is simple to imagine Morgoth as a dark lord choosing his emblem as a simple black shield in order to show his power of darkness. The *Connotation* of this is to be found in the evil of the dark lord of fantasy and the signification of the colour black in the Christian influences, as mark of the devil.

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262 Pastoureau, Michel. *Noir. Histoire d'une couleur, op. cit.* p. 52.

263 *Ibid.* p. 68.

264 *Ibid.* p. 69.

In this part we saw that Morgoth could be established as an archetype of evil in literature. Indeed, in our part on fantasy we saw that the character of Tolkien was deep anchored in the genre due to his role as the figure of the dark lord, the archetypal figure of evil in fantasy. From this, we only had to show the correlations between his actions and creation and the characteristics of evil in fantasy. Next, we saw thanks to the work of Vladimir Propp that Morgoth could be inscribed in the roots of fantasy, the folktale, as an other archetype of evil: the villain. Through the study of his functions and a sequence of *The Silmarillion*, we proved his position as the main villain of the tale of Fëanor. At last, thanks to the study of semiotics and particularly with the work of Ferdinand De Saussure, we studied the signs of evil presented in *The Silmarillion* which were all linked to Morgoth in some extend. Through the study of his colour: black, he saw that the character owned many influences linked to evil which he wears on him as symbol of his power. Morgoth is definitely an archetype of evil in literature and in the religious view from what we saw. Our last part will now focus on the discourse analysis of Morgoth in order prove his evilness even into the linguistic aspect of his character.

### III. **Discourse Analysis of Morgoth**

Tolkien, more than a writer, was a linguist. In fact, the whole world of Middle-earth was made up in order to give a historical, a cultural context to the languages he invented from Elvish to Númenorian or even the Black Speech. Knowing the importance of language in the work of Tolkien, it seems more than necessary to study the character of Morgoth through this prism in order to conclude our analysis of the character as an archetype of evil. Furthermore, discourse analysis is concerned by social matters of the late twentieth century, thus, using these theories in order to establish good and evil, from the Manichean influences, would seem irrelevant because of the common idea of our time that the world is not all black or white. But nonetheless, using the theories of discourse analysis with the character of Morgoth will enable us to show how the dark Lord behaves and talks with his opponents and allies, hence taking the role of the aggressor in the discourse.

#### 1. *Speech Acts*

Speech acts were mostly developed by two philosophers of language named J. L. Austin and John R. Searle. In their work, they moved away from the semantic meaning that is the study of the meaning of words, and the true or false properties of sentences. Considering language as an action, they developed the theory of speech acts. In order to analyse Morgoth's discourse and the evil that can be found in it, we will study the linguistic theories of Austin with the locutionary, illocutionary and perlocutionary acts then Searle's theory of the five illocutionary points.

1. *Austin's theory: Locutionary, Illocutionary and Perlocutionary Acts*

John Langshaw Austin was an English philosopher of language. In the work *How to do things with words*, a compilation of his lectures on linguistics published after his death, we are introduced to the idea that language can be considered as an action. In the theory of speech acts, Austin distinguishes three aspects of the act of doing something through language<sup>265</sup>. There is the locutionary act, the illocutionary act and the perlocutionary act. Thus, when we talk, when we use words we use, knowingly or not, these acts. Through the theory of Austin, we will study the discourse of Morgoth in order to show that his way of talking and the way he uses words is another proof of his role as an archetype of evil.

First of all, Austin introduces the first act of language as the locutionary act: “J'appelle (je baptise) l'acte de “dire quelque chose” dans ce plein sens du terme: exécution d'un acte locutoire.”<sup>266</sup> It simply consists in the production of sounds belonging to a particular vocabulary organized according to a particular grammar and owning a particular signification.<sup>267</sup> These productions are given a particular sense, that is to say the content of what is said, the speakings themselves, and a particular reference, that is to say what is said and to what it refers, the two terms making together the one of the signification. The locutionary act is simply the act to say something. Furthermore, Austin explains that locutionary acts have their own meaning such as asking a question or answering one, giving an information or a warning, announcing a verdict or an intention, pronouncing a sentence, making a criticism or a nomination and identifying or giving a description. The use of the locutionary act is the use of the discourse as Austin says<sup>268</sup>, and this act will be very different according to the way it is used and to the meaning it is given. Thus, as the philosopher explains, this difference will be more or less seen if the locutionary act is either an advice, a suggestion, an order, a promise etc.

In *The Silmarillion*, we find Morgoth talking four times: to his brethren at the beginning of times, to Fëanor in Valinor, to Ungoliant in the south and north of Aman and finally to Húrin on Thangorodrim. Thanks to Austin's examples<sup>269</sup>, we can show Morgoth's

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265 Austin, John L. *Quand dire, c'est faire*. Paris: Seuil, 1970. p. 28.

266 *Ibid.* p. 109.

267 *Ibid.* p. 28.

268 *Ibid.* p. 112.

269 *Ibid.* p. 114.



locutionary acts which we will name a), b) c), d), e), f) and g) in order to simplify our analysis afterwards. The first utterance of the dark Lord is “This shall be my own kingdom; and I name it unto myself!”<sup>270</sup> (a) when he addresses to the other Valar. He said to them: “I name it unto myself?”, which is the locutionary act. The sense being the speakings themselves and the reference being Arda, the kingdom Morgoth talks about. Here the locution takes the meaning of announcing an intention. Next, we find Morgoth talking with Fëanor two times:

Behold the truth of all that I have spoken, and how thou art banished unjustly. But if the heart of Fëanor is yet free and bold as were his words in Tirion, then I will aid him, and bring him far from this narrow land. For am I not Vala also? Yea, and more than those who sit in pride in Valimar; and I have ever been friend to the Noldor, most skilled and most valiant of the people of Arda.<sup>271</sup> (b))

The full quote here contains some locutionary acts of Morgoth who is talking to Fëanor. Of the meaning and purpose of this act we will see in the next points for here what interests us is to see the sense of the locutionary act that is the speakings and the reference, which is the rebellion of Fëanor initiated by Morgoth in Valinor and the Elf's will to leave Aman for Middle-earth. Here locutionary acts of Morgoth holds the meaning of a criticism towards the verdict of the Valar and the banishment of Fëanor plus an announcing of his intention to help Fëanor by a promise accentuated by a rhetorical question. Of course this is done in order to trick him and take the Silmarils for himself and hurt the Valar by the rebellion of the Elves.

Afterwards, we find Morgoth talking one last time to Fëanor about the Silmarils: “Here is a strong place, and well guarded; but think not that the Silmarils will lie safe in any treasury within the realm of the Valar!”<sup>272</sup> (c)) Here the locutionary act is that of Morgoth saying that the Silmarils will not be safe in Valinor. The reference of the act are the jewels made by Fëanor coveted by Morgoth. The act holds here the meaning of a warning, a warning made by Morgoth towards Fëanor about the safeness of the Silmarils. Later on in *The Silmarillion*, Morgoth teams up with Ungoliant to poison the Trees and steal the Silmarils. When Morgoth meets the giant spider in the south of Aman he asks her to help him: “Do as I bid; and if thou hunger still when all is done, then I will give thee whatsoever thy lust may

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270 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 21.

271 *Ibid.* p. 71.

272 *Ibid.*

demand. Yea, with both hands<sup>273</sup> (d)). The locutionary act of Morgoth takes the form of a promise, introduced by a request to follow him, Morgoth gives a guarantee that she will have a price. The reference being of course the price of Ungoliant and her help.

Afterwards, Morgoth and Ungoliant enter in a fight which is started by the lust of Ungoliant demanding the treasures of Formenos for herself. To this Morgoth answers: “What wouldst thou have more?’ said Morgoth. ‘Dost thou desire all the world for thy belly? I did not vow to give thee that. I am its Lord.’<sup>274</sup> (e)) The locutionary act owns here the form of a question asked and also of an intention given by Morgoth just like when he claimed Arda to his brethren in our first quote. The reference of the act is the Silmarils for the first question while for the reference for the second question and the intention given is Arda. In the same way, when Ungoliant claims the Silmarils in Morgoth's hand, Morgoth's locutionary act owns the meaning of an intention and a description of which the references are the Silmarils and the evil deeds of the two antagonists in Valinor respectively: “Nay!” he said. ‘Thou hast had thy due. For with my power that I put into thee thy work was accomplished. I need thee no more. These things thou shalt not have, nor see. I name them unto myself for ever.’<sup>275</sup> (f)) The last utterance of Morgoth is to be found with the captivity of Húrin after Nirnaeth Arnoediad, the battle of Unnumbered Tears.

‘Sit now there; and look out upon the lands where evil and despair shall come upon those whom thou lovest. Thou hast dared to mock me, and to question the power of Melkor, Master of the fates of Arda. Therefore with my eyes thou shalt see, and with my ears thou shalt hear; and never shalt thou move from this place until all is fulfilled unto its bitter end.’<sup>276</sup> (g))

In this last quote, the locutionary act of Morgoth owns the meaning of a sentence, of a penalty, of a curse through a direct threat. Indeed, Morgoth holds Húrin prisoner on Thangorodrim and curses him, condemning him to watch his family and the lands he defended to fall into evil which is the reference of the act.

Next, Austin presents the illocutionary act. This act, in addition to being also a locution that says something, also produces something by saying. By saying something, this

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<sup>273</sup> *Ibid.* p. 74.

<sup>274</sup> J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 80.

<sup>275</sup> *Ibid.*

<sup>276</sup> *Ibid.* p. 197.

act consists in expressing how the words of the utterance should be understood at the moment they are pronounced.<sup>277</sup> Austin explains that by performing a locutionary act we also perform an illocutionary one. Illocutionary acts can have a conventional force which can be to inform, to command or to advert for example.<sup>278</sup> By force we refer to the sense of the illocutionary act in addition to its signification as a locutionary act. For example, in a locutionary act where the speaker says “you have to go.” we understand the signification through the verb *go*, that is to say the person concerned will simply leave. With the illocutionary act we understand the sense of the utterance as an order or an advice for example. Austin says that the illocutionary act serves to express how the utterance must be understood and the force it owns, thus, we can now analyse the illocutionary acts of Morgoth in order to show how he positions himself towards his audience.

In our first quote (a)), we said that Morgoth's locution was to be seen as an intention referring to Arda. What his brethren were to understand was his will to dominate the world, to make it his very own kingdom, despite Ilúvatar and the other Valar's will. He tells them his intention to be king of the world. In b), we saw Morgoth criticise the verdict of the Valar towards Fëanor and claim his intention to help him leave Aman. Here Morgoth wanted Fëanor to understand that he could only trust him because the Valar were unfair and thus that he should leave their realm with his help. In c), Morgoth was warning Fëanor about the safeness of the Silmarils. This warning was made to make Fëanor understand that the Valar were really a threat and thus the Silmarils were not safe in Valinor and that he should leave the realm as we said. With d), we saw Morgoth talking with Ungoliant. His locution holding the meaning of a question asked and a guarantee given are to be understood as a way to urge the spider to follow the dark Lord because she was “torn between lust and great fear”<sup>279</sup> to go against the Valar. Using a promised prize to help his force to be understood. Next, in e), Ungoliant and Morgoth enters in a fight as we said and Morgoth's locutionary act held the meaning of a question asked and an intention given. His question was to make her understand that he had nothing more for her and his intention, in claiming the world, was to make her understand that she will have nothing more. With f), Morgoth's locution holds the meaning of an intention, to refuse her the Silmarils, and a description, of their evil deeds in Valinor, which are produced in order for Morgoth to make Ungoliant understand that she will never have the Silmarils. At

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277 Austin, John L. *Quand dire, c'est faire. op. cit.* p. 28.

278 Austin, John L. *Quand dire, c'est faire. op. cit.* p. 119.

279 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 74.

last, after the battle of Nirnaeth Arnoediad, Morgoth talks to Húrin and curses him. This locutionary act, as we said, holds the meaning of a sentence referring to the curse of Húrin and his family as well as the lands he fought for. It was produced by Morgoth in order to make Húrin understand that he should have not mock and dare the power of the dark Lord. Thus, the illocution of this utterance can be seen as a punishment to Húrin's actions by Morgoth.

Finally, Austin introduces, following the illocutionary act, the perlocutionary act. This act, in addition to being also a locution thus doing the same as this first act, produces something per the fact to say something. What is produced is then not necessarily the same thing that is said to be produced. For example.: “I warn you.” is a perlocution only if the one who hear it is frightened and not only warned per these words. The perlocutionary act produces effects, consequences on the other. Thus, as Austin argues<sup>280</sup>, saying something will inevitably produce some effect on the feelings, thoughts or acts of the audience. For example, the perlocution of vowing compels the speaker to his vow. In addition, these effects can also be wanted by the speaker or not. Hence, we can order the three acts following these examples: “he said that...” is a locution, “he defended that...” is an illocution and “he convinced me that...” is the perlocution.

In *The Silmarillion*, following the locutions and illocutions of Morgoth, we can study his perlocution in order to see the effects of his discourse on his audience and his world, which will inevitably be evil as we will see. In a), Morgoth intention was made in order to claim Arda for himself despite his brethren, the effect produced by his utterance was the first war of Arda, and the eternal fight between the forces of Morgoth and the forces of the Valar and the free people of Middle-earth. In b), the dark Lord's criticism towards the Valar was made in order for Fëanor to understand that he could trust Morgoth. His intention being to make him leave Valinor. The effect wanted by the fallen Ainur was that by tempting the Elf with his words of trust, Fëanor would rebel against the will of the Valar and thus leave Aman to Middle-earth. But this effect wanted by Morgoth took a different path with c). Indeed, by using the Silmarils to help Fëanor fall in his trap, Morgoth received an unwanted effect which was the wrath of Fëanor: “But his cunning overreached his aim; his words touched too deep, and awoke a fire more fierce than he designed.”<sup>281</sup> Hence, instead of having Fëanor in his net,

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280 Austin, John L. *Quand dire, c'est faire. op. cit.* p. 114.

281 J.R.R. Tolkien, *The Silmarillion, op. cit.* p. 72.

this one chased him from Formenos and cursed him. When Morgoth met Ungoliant, the effect he wanted to be produced in d) was that she would accept his deal, in her lust, and hence she would follow him to Valinor to kill the Trees and steal the Silmarils, which happened. Later on, when the two characters left Valinor and Aman, they entered in a fight for the treasures of Formenos and the Silmarils. In e), we see that the effect produced by the locution of Morgoth is that Ungoliant ignores his claim over the stolen treasures and his claim over the world. She demands the treasures of Formenos in her lust which are given by Morgoth “perforce”<sup>282</sup> and “grudgingly”<sup>283</sup> due to his fear of Ungoliant's growing power. Another effect which can be seen here is that the treasures of Formenos, which were some of the most beautiful craft of the Noldor disappeared from the world. When she demands the Silmarils, Morgoth answers her with f), which has the effect of starting a fight between the two, Ungoliant “rose against him, and her cloud closed about him, and she enmeshed him in a web of clinging thongs to strangle him.”<sup>284</sup> Saved by the Balrogs, Morgoth and his servants managed to defeat Ungoliant who fled to the South. The ultimate effect which can be seen here is that she poisoned the mountains in the north of Beleriand and that her offspring were a terrible evil for Middle-earth until the end of the Third Age. At last, with the curse of Húrin in g), the effect of the curse and sentence of the man is the doom set upon his wife and children who all died due to the evil of Morgoth.

Thanks to Austin's theory, we studied the utterances of Morgoth through his locutionary, illocutionary and perlocutionary acts which enabled us to see that whenever we find Morgoth talking, there is always evil as a result, a point which we saw with his perlocutionary acts. From his locutions and illocutions we saw that, following the ideas of fantasy and folktale, Morgoth always holds the role of an aggressor, a villain, making plans and false vows in order to get what he wants.

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282 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 80.

283 *Ibid.*

284 *Ibid.*

## 2. *Searle's classification*

John R. Searle is an American philosopher of language close to the analytical idea of studying language. In the theory of speech acts he introduced the concept of the classification of the illocutionary acts which we saw with Austin. A classification in five illocutionary points which are the declaratives, the representatives, the commissives, the directives and the expressives<sup>285</sup>. The declaratives are concerned by words and expressions that change the world when uttered. For example we find “I resign”, “I do” or “I name this ship”. Representatives indicate the speaker beliefs in the discourse, that is to say that the speaker is describing something, claiming, hypothesising or predicting something. The commissives commit the speaker to future actions. Here we find him promising, offering, threatening, vowing or volunteering in the utterance. The directives causes the hearer to take a particular action such as being commanded, requested, invited or advised, etc. Finally, in the expressives, the speaker expresses his attitudes, emotions or feelings: we find the speaker apologising, congratulating, praising, regretting, etc.<sup>286</sup> Hence, thanks to Searle's further analysis of the illocutionary act, we can study those of Morgoth in a more detailed way in order to complete the idea that the dark Lord owns the discourse of an aggressor, a villain according to the standards of fantasy and folktale.

In *The Silmarillion*, we can find these illocutionary points in the discourse of Morgoth which we already studied. In order to progress in our analysis and to link Searle's point to Austin's, we will keep on using the abbreviation a), b), c), d), e), f) and g). First of all, in a), we saw that Morgoth intention was to make his brethren understand his claim over Arda and thus to acknowledge his rule. Following the classification of Searle, we can distinguish two types of illocutionary acts in this utterance: a representative with “This shall be my own kingdom;”<sup>287</sup> and a declarative with “and I name it unto myself!”<sup>288</sup> Here the representative indicates Morgoth belief that Arda shall be his kingdom due to his status of mightiest of the Ainur thus, he claims it. The following declarative is an expression that changed the world once Morgoth uttered it. Indeed, the world is changed when he affirms his claim, declaring

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285 “Introduction to discourse analysis and pragmatics”, class lecture of Pr. Joanna Thornborrow, M1 TILE, UFR LSH Brest, 10 September 2018 (unpublished).

286 *Ibid.*

287 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 21.

288 *Ibid.*

Arda his own, because it will lead to the many wars of Arda for its dominion. Plus, we could say that the world is literally changed because of Morgoth's claim and following actions, Arda was marred and its lands were broken many times.

Next, with b), we find three different types of illocutionary points. In his talk with Fëanor, Morgoth produces a directive and a representative with “Behold the truth of all that I have spoken,”<sup>289</sup> and “Yea, and more than those who sit in pride in Valimar; and I have ever been friend to the Noldor, most skilled and most valiant of the people of Arda.”<sup>290</sup> Here Morgoth invites Fëanor to look at what happened and how Morgoth was right. In the second, he claims his friendship with the Noldor and Fëanor, in order to make him fall in his plan as we have seen. Next, Morgoth produces an expressive showing his attitudes towards the banishment of Fëanor from Tirion by the Valar and deploring it: “and how thou art banished unjustly.”<sup>291</sup> After, Morgoth produces a representative and a directive with “But if the heart of Fëanor is yet free and bold as were his words in Tirion,”<sup>292</sup> and “For am I not Vala also?”<sup>293</sup> Here Morgoth takes a suggestive approach in order to make Fëanor fall in his plan. With his representative he is hypothesising the fate of Fëanor and with the directive, he tries to make his hearer to take a particular action, that is to trust him, to follow his suggestion and his invitation. At last, we find Morgoth producing a commissive with “then I will aid him, and bring him far from this narrow land.”<sup>294</sup> where the dark Lord commits himself to some future actions, more particularly promising to help Fëanor leave Aman and the realm of Valinor.

In c), we saw that Morgoth was warning, through a commissive, Fëanor about the safeness of the Silmarils which can be seen as a threat: “Here is a strong place, and well guarded; but think not that the Silmarils will lie safe in any treasury within the realm of the Valar!”<sup>295</sup> Indeed, Morgoth is threatening Fëanor about the safeness of his precious treasure in order to make him leave in the realm. But it can also be seen as a suggestive act where Morgoth tries to push on the weak point of the Elf to get what he wants. Of course we know that this act touched too deep and that Fëanor chased Morgoth from his land afterwards.

When Morgoth met Ungoliant afterwards, we saw in d) that the mightiest of the Ainur was trying to convince the spider to help him. In order to do so, Morgoth used a directive, a

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289 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 71.

290 *Ibid.*

291 *Ibid.*

292 *Ibid.*

293 *Ibid.*

294 *Ibid.*

295 *Ibid.*

commissive and two representatives in his speech act. “Do as I bid;”<sup>296</sup> is the directive and Morgoth commands Ungoliant to follow him. To complete his command, the dark Lord hypothesises with a representative “and if thou hunger still when all is done,”<sup>297</sup> He hypothesises on what will happen once their mischief is done, a hypothesis which will be completed with a vow on the price Ungoliant will receive in exchange: “then I will give thee whatsoever thy lust may demand.”<sup>298</sup> this vow is part of a commissive act, Morgoth committing himself to a future action. At last, we find Morgoth expressing his belief on his vow by producing a representative with “Yea, with both hands”<sup>299</sup> predicting his intention to keep his promise.

Furthermore, after the murder of Finwë and the poisoning of the Tow Trees, we said that Ungoliant and Morgoth entered in fight for the treasures of Formenos and the Silmarils, in e). In Morgoth's reply to Ungoliant, we find two directives, a representative and a declarative. The first directive, “What wouldst thou have more?”<sup>300</sup>, is produced by Morgoth who is suggesting to Ungoliant the fact that there is nothing else she can eat, causing the spider to take a particular action which is to eat the treasure of Formenos and to try to eat the Silmarils. The second directive is “Dost thou desire all the world for thy belly?”<sup>301</sup>, which is also a suggestion and owns the same force as the previous directive. Following his suggestion, Morgoth answers her “I did not vow to give thee that.”<sup>302</sup>, which is a representative where the dark Lord indicates his belief that he will never give up his claim over Arda, here by describing the vow he did to her. At last, Morgoth concludes his utterance by closing the matter on the hypothetical lust of Ungoliant over Arda by saying: “I am its Lord.”<sup>303</sup>, which is a declarative where the dark Lord claims Arda such as he did to his brethren at the beginning of days. Hence, his declarative holds the same meaning than his first one.

Ungoliant finally comes to demand the Silmarils in her lust in f) to what Morgoth answers by an expressive, two directives, a representative and a declarative. “Nay!”<sup>304</sup> is the expressive and, as its name indicates, it expresses the refusal of Morgoth to the demand of Ungoliant. It expresses his attitude and feeling towards the boldness of the giant spider. Next,

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296 J.R.R. Tolkien, *The Silmarillion*, op. cit. p. 74.

297 *Ibid.*

298 *Ibid.*

299 *Ibid.*

300 *Ibid.* p. 80.

301 *Ibid.*

302 *Ibid.*

303 *Ibid.*

304 *Ibid.*



Morgoth explains his refusal with a directive: “Thou hast had thy due.”<sup>305</sup> which can be seen as a command of Morgoth, trying to cease the lust of Ungoliant; followed by a representative: “For with my power that I put into thee thy work was accomplished. I need thee no more.”<sup>306</sup> which describes what Morgoth gave her and also what he believes, that is that he does not need her any more. The second directive is found with “These things thou shalt not have, nor see.”<sup>307</sup>, which is an act of forbidding by Morgoth, refusing to give the Silmarils to Ungoliant. At last, we find a declarative produced by Morgoth in order to close the matter of the Silmarils with: “I name them unto myself for ever.”<sup>308</sup> Here we see that Morgoth claims the Silmarils such as he did for Arda, an act which will change the world, indeed, all the wars led afterwards in Beleriand were due to the Silmarils possessed by Morgoth.

Finally, in g), we studied the different acts which Morgoth produces while talking to his prisoner Húrin. In his utterance, we can find three different illocutions which are a directive, an expressive and a representative. The directive produced by Morgoth is “Sit now there; and look out upon the lands where evil and despair shall come upon those whom thou lovest.”<sup>309</sup> where the dark Lord commands Húrin to be prisoner and to watch evil fall on his kin. Next we find an expressive in the discourse of Morgoth with: “Thou hast dared to mock me, and to question the power of Melkor, Master of the fates of Arda.”<sup>310</sup> Here Morgoth expresses his attitude towards the man by deploring the sayings and actions of Húrin who fought against the armies of the dark Lord and mocked him once he was taken prisoner. At last, we find a commissive with: “Therefore with my eyes thou shalt see, and with my ears thou shalt hear; and never shalt thou move from this place until all is fulfilled unto its bitter end.”<sup>311</sup> where Morgoth threatens and vows to bring evil to Húrin's kin by the curse he sets upon him and his family.

With Searle's classification, we managed to analyse in depth the illocutionary acts of Morgoth in *The Silmarillion*. This analysis enables us to see the evil of the character in his discourse, indeed, all his illocutions have for effect to bring evil: his lies to Fëanor brought rebellion in Valinor, those to Ungoliant brought the death of the king of the Noldor and of the Tow Trees as well as danger to himself and the curse he made to Húrin led to the death of the

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305 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 80.

306 *Ibid.*

307 *Ibid.*

308 *Ibid.*

309 *Ibid.* p. 197.

310 *Ibid.*

311 *Ibid.*

man's family and his family's friends. Hence, Morgoth, even in his very discourse, owns the role of an aggressor, of a villain if we follow our analysis of fantasy and of the folktale.

## 2. *Face Threatening and politeness*

Semiology is composed of distinct branches named syntactics, semantics and pragmatics.<sup>312</sup> We already studied the semantic field in our part on the semiotic analysis of the character of Morgoth with the work of Ferdinand De Saussure. Here, we are interested in the field of pragmatics which is the study of the relation of signs to interpreters<sup>313</sup> and of the construction of meaning in context.<sup>314</sup> The theories which we will study in this part in order to add one more proof that Morgoth is an archetype of evil in *The Silmarillion* are based on the notions of meaning and indirectness found in pragmatics. The indirectness in the discourse shows an implied meaning, that is to say that we need access to the context, to shared knowledge to retrieve the meaning behind the discourse.<sup>315</sup> The meaning in pragmatics is always motivated: in a social, cultural, etc. context, people have reasons for saying thing, for speaking in a particular way. It is also dynamic: the talk is an action, it brings about change in and of the moment, it is concerned with how we say something in a particular moment in time. At last, it is also collaborative: the meaning and the understanding is achieved through social interaction in context, that is to say working together in order to produce meaning.<sup>316</sup> Meaning and indirectness are essential elements of the theories of Erving Goffman as well as Penelope Brown and Stephen Levinson on the notions of Face and Politeness. This is through these two notions that we will study the character of Morgoth, then we will complete our study of his discourse with an analysis of the face threatening acts and with an analysis of advice-giving acts as face threatening acts.

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312 Levinson, Stephen C. *Pragmatics*. Cambridge: Cambridge University Press, 1983. p. 1.

313 *Ibid.*

314 "Introduction to discourse analysis and pragmatics", class lecture of Pr. Joanna Thornborrow, M1 TILE, UFR LSH Brest, 10 September 2018 (unpublished).

315 *Ibid.*

316 *Ibid.*

## 1. *Face and Politeness*

Erving Goffman, a Canadian sociologist and linguist, is the first to introduce the notion of Face as “the positive social value a person effectively claims for himself by the line<sup>317</sup> others assume he has taken during a particular contact.”<sup>318</sup> or simply the public self image claimed by every member of the society to himself<sup>319</sup>. The linguist presents the notion of Face as a social construction made of social interactions between participants in some form of social relationships which are named *encounters*<sup>320</sup>. This social relationship found between the participants is the centre of the *encounter*: the participants usually work together in order to keep it open, to maintain the talk open, that is to say to avoid to threaten the other's face as we will see next. Influenced by the theory of Goffman, Penelope Brown and Stephen Levinson, an American anthropological linguist and a British social linguist, will develop the theory of Politeness linked to the one of Face. Indeed, as Goffman defined Face as the public self image one claims to himself, Brown and Levinson will further define it as a notion consisting in two related aspects: Negative face and Positive face.<sup>321</sup> In their work, the two linguists defined the Negative face as the basic claim to territories, to personal preserves, rights to non-distraction as for example the right to freedom of action and from imposition. On the other hand, the Positive face is the positive consistent self-image of *personality* claimed by the interactants.<sup>322</sup> This *personality* notably includes the desire that we all have to be socially accepted, that the self-image will be appreciated and approved by the others. Hence, when we talk, when we produce with an other person an *encounter*, the Faces of all participants are put into work and the issue is to not destroy both the other's positive and negative faces.

In *The Silmarillion*, this notion of Face and its aspects can be studied through the *encounters* between the character of Morgoth and the different participants he talked to in

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317 The line is “a pattern of verbal and non-verbal acts by which a person expresses his view of the situation and through this his evaluation of the participants, especially himself.” (Goffman, Erving. *On Face Work: An Analysis of Ritual Elements in Social Interaction. op. cit.* p. 222.)

318 Goffman, Erving. *On Face Work: An Analysis of Ritual Elements in Social Interaction*. Philadelphia: Westview Press, 1955.

319 “Introduction to discourse analysis and pragmatics”, class lecture of Pr. Joanna Thornborrow, M1 TILE, UFR LSH Brest, 10 September 2018 (unpublished).

320 *Ibid.*

321 *Ibid.*

322 *Ibid.*

order to see how the dark Lord deals with the others' faces. Following our previous analysis, we will focus on the four *encounters* which depict the social interaction of Melkor and his brethren, of Melkor and Fëanor, of Melkor and Ungoliant and at last of Morgoth and Húrin. At first, it is essential to determine what is Morgoth's Face, that is to say the public self-image he claims to himself according to Goffman's theory. With the character of Morgoth, it is important to note that his Face takes different form through the ongoing of the plot of *The Silmarillion*. Indeed, the mind, the shape or the actions of the character are very different from his time of glory in the Ainulindalë to his fall in Beleriand. His first public self-image image he claims to himself is the one of an opponent to the power of his creator and of his brethren. His claim in the text: "This shall be my own kingdom; and I name it unto myself!"<sup>323</sup> clearly shows the form of his Face at the time. A recurrent element can be seen here: we said that the participants usually work to keep the channel of communication open by avoiding the destruction of the others' Face. Here we see that Melkor, from the very beginning does not take this rule into consideration, his claim ends the talk and is produced in order to entrench his dominion over Arda. Further, in Melkor's Face we can see both Positive and Negative faces appear: his negative face is his basic claim over Arda, a claim to territories, a negative face which can be broadened to the basic claim for freedom of action and from imposition because of his rebellion against the power and dominion of Ilúvatar. The Positive face of Melkor, that is to say the consistent, the coherent self-image he claims to himself is the one of king of the world which he will wear until his fall.

Next, we find the *encounter* between Melkor and Fëanor. Here, the Face of Melkor is not the same than at the beginning of times. Indeed, a long time is found between the two events and during this time Melkor decided to wage war against the Valar, he created monsters and shaped himself as a dark Lord in his fortress of Utumno. After his imprisonment and his release, Melkor decided to use lies and treachery to do evil, thus he wears a Face which can be seen as fake, as a mask in order to avoid his true intentions to be found out. In the talk with Fëanor, Melkor wears a particular Face in order to move the mind of the Elf, that is to say the one of a helper, a counsellor. "Friendship he feigned with cunning arguments"<sup>324</sup> we understand by this that Melkor does not try to end the talk but to keep it open, of course in order to achieve his evil plans. These elements we find in his very talk with Fëanor:

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323 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 21.

324 *Ibid.* p. 71.

Behold the truth of all that I have spoken, and how thou art banished unjustly. But if the heart of Fëanor is yet free and bold as were his words in Tirion, then I will aid him, and bring him far from this narrow land. For am I not Vala also? Yea, and more than those who sit in pride in Valimar; and I have ever been friend to the Noldor, most skilled and most valiant of the people of Arda.<sup>325</sup>

Melkor tries to keep the talk open by flattering Fëanor and by presenting his Face as the one of a trustful one. In the encounter, the two faces of Melkor change, or are most likely hidden by the dark Lord. Indeed, the Negative face of Melkor loses all its meaning for he does not claim any territories or rights, or only the image of being friend to the Noldor. On the other hand, the fallen Ainu also loses his positive face of king of the world to a one most close to the definition of Positive face that is to say the desire to be socially accepted, that his self-image will be approved by the others. Indeed, he feigns friendship by wearing these faces in order to deceive Fëanor. Even when he uses the Silmarils to persuade Fëanor, he still wears his Face of lies though his utterance can be also seen as a threat, of which we will see afterwards.

Moreover, during his *encounter* with Ungoliant, Melkor changes one more time his Face and he will wear this one until the end. The public self-image he claims before Ungoliant is the one of the dark Lord which he already had in Utumno. He presents himself of a powerful evil and still as the king of the world. In this encounter, Melkor does not try to keep the talk open, indeed as with his talk with his brethren he commands Ungoliant to do as he bid, offering her a price for her work. The Negative face he wears now is close to the one he had at the beginning: it is again the basic claim to territories and more particularly to the Silmarils and to the life of the Two Trees which we know he killed with Ungoliant. We can also note that the claim for freedom of actions and from imposition are found in this Negative face for he refuses the verdict of the Valar to help rebuilding what he destroyed during the first war and during his rule in Utumno. The Positive face here is the one of a dark Lord, of king of the world and also as Master of Ungoliant who follows him in the mischief. Here he seems to do not care about the desire to be socially accepted and his self-image be approved by the others for the only thing produced by his positive face during his assault upon Valinor is fear and despair. But later, when the two antagonists flee from Aman, we find Melkor changing his Face. Indeed, he tries to get rid of Ungoliant who follows him and when she demands the treasures of Formenos his Face of dark Lord changes. His public self-image of

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325 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 71.

powerful being is broken by the power of Ungoliant and he is constrained perforce to lend her the stolen treasures. Here it is not Melkor who ends the relationship in the talk but Ungoliant who commands the dark Lord to give her the gems and after the Silmarils. The Negative face of Melkor is completely crushed by Ungoliant because she demands the Silmarils which were his basic claim at the moment. As for his Positive face of dark Lord, of Master, it is rejected by Ungoliant who attacks him and tries to kill and steal him.

At last, we find our last *encounter* with the imprisonment of Húrin and his curse by Morgoth in Angband. In this encounter, Morgoth holds the same face that he had as a dark Lord in Utumno or with Ungoliant, that is to say of a dark king, further developed by his rule in Angband and his victories upon the Elves since the breaking of the siege of his stronghold. Once again, the character does not try to maintain the talk open for he puts a sentence upon Húrin, a curse and a command that will bound the man upon Thangorodrim for many years and the prisoner can not refuse or act against this judgment. In this situation, the Negative face of Morgoth remains his basic claim to territories, that is to entrench his authority upon Arda and its inhabitants and to exerts his rule in the freedom of action and from imposition that is found in the usual Negative face. The Positive face of Morgoth here is still the one of a dark Lord and here again the character does not try to make his self-image to be accepted or approved by Húrin.

Hence, the evolution of the character of Morgoth and of his Face enables us to see his fall into darkness as we saw it in our first part but from the angle of socio-linguistic, showing the evolution of his evil through the public self-image he gave to himself. Indeed, all his faces are bathed in evil purposes and we found him most of the time threatening the others' Face in order to achieve his goal.

## 2. *Face Threatening Acts*

Following the theory of Goffman and the one of Brown and Levinson, the notion of face and its two related aspects of Negative and Positive faces imply the idea of face threatening acts in the discourse. These acts can be defined as a certain kind of actions which run contrary to the Negative or the Positive face needs which we saw earlier in the definition we gave to these aspects.<sup>326</sup> For example, a face threatening act can be asking someone to do something they don't want to. Also, these acts can be delivered directly by the speaker or indirectly, that is to say in a hedged or mitigated request for example.<sup>327</sup> Furthermore, the face threatening acts are governed by three factors, three level of directness: Power, Social Distance and Rating of Imposition<sup>328</sup>. The first level, Power, is concerned by the hierarchical, institutional order established between the participants. We find in this case a representative of the authority asking a question to a citizen for example. The second level, the Social Distance, is concerned by the social status, the gender, the age or the familiarity between the participants. This level defines how we can talk to someone according to the social distance, for example: an old man to a young one, a worker to his boss, etc. At last, the third level is the level of the Rating of Imposition. It is concerned with free and non-free goods or actions or information. Here this is not necessarily a question of wealth but also, as we just said, of actions or information asking for a particular information or action can be valuable depending on the context. The idea of face threatening acts in the discourse is an essential notion of socio-linguistic in order to understand how people talk and behave towards each other depending on diverse factors. Hence, studying the character of Morgoth according to his face threatening actions seems appropriate to show his evil in his discourse.

In *The Silmarillion*, we found face threatening acts either produced by Morgoth or produced against him. When Melkor declares himself king of the world, it is clearly a face threatening act for his claim runs contrary to all the others' faces and even to Ilúvatar's. Hence, Melkor's face threat is produced directly and runs contrary to the Positive face needs of his brethren for he claims to be king thus making them his subjects or servants while they are

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326 "Introduction to discourse analysis and pragmatics", class lecture of Pr. Joanna Thornborrow, M1 TILE, UFR LSH Brest, 10 September 2018 (unpublished).

327 *Ibid.*

328 *Ibid.*

Valar, that is to say the Powers of Arda. Plus his claim runs contrary to their Negative face needs. Indeed, they descended upon Arda to help the Children of Ilúvatar and forge Arda in order to welcome them but Melkor decided to take control over the world running contrary to their basic claim for territories and their freedom of action and from imposition. We can also see the fact that he does not work to keep the talk open as a face threat for he does not accept their social self-image. Their freedom of action was indeed attacked by Melkor who “meddled in all that was done, turning it if he might to his own desires and purposes; and he kindled great fires.”<sup>329</sup> We can also see an act of face threat towards Ilúvatar for Melkor claims Arda for himself whereas it is the creation of Ilúvatar and it is part of his realm.

Furthermore, in this *encounter*, we can analyse Melkor's face threat through the three levels of directness. Even if the hierarchical order between the Ainur is respected, Melkor being the most powerful of them all, the level of Power is disrupted in the face threat of Melkor towards Ilúvatar when the fallen Ainur rebels against him and claims his creation for himself. The level of social distance in this face threat can be found when Melkor claims Arda to his brethren. Indeed they are of his kin but he talks to them as if he was already their king which makes a face threat towards their Positive face. The level of Rating of Imposition is concerned by the possession of Arda as a non-free goods because it is not the property of Melkor even if he claims it for himself, indeed his purpose as an Ainu was only to build Arda for Ilúvatar's children. Plus, Melkor claiming Arda as his kingdom highlights the social distance in the face threat towards Ilúvatar because Melkor can be seen as the Creator's son.

In the second *encounter*, Melkor talks with Fëanor and while it seems there is no face threats in the dark Lord's discourse, there is in fact a disguised one. Indeed his actions are face threats in themselves for they are made in order to deceive others. Here the face threatening action is not directly delivered by Melkor for he is hiding his true purpose, which we saw earlier. Indeed, we said that Melkor was in fact trying to trick Fëanor in order to make him leave Aman in a rebellion against the Valar, enabling Melkor to steal the Silmarils at the same time. Furthermore, his advice that the Silmarils will not be safe in the realm of the Valar can be seen as a threat knowing Melkor's intentions. His intentions clearly run contrary to all Fëanor's faces needs for Melkor, in a disguised discourse, claims the Elf's most precious object and by extension threatens his territory in Aman by urging him to leave this land by trying to manipulate him. Indeed, all the rebellious thoughts of the Noldor were put into being

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329 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 20.



by Melkor's lies and cunning talks, thus divesting the Elves of their freedom of action. Following the socio-linguistic theory, we can find out the three levels of directness in his face threatening action.

The level of Power is found in the hierarchy in place between the Ainu and the Elf. Indeed, they are not on the same level of Power: Melkor is a god-like creature, most powerful of the Ainur of Ilúvatar, immortal, he took part in the forging of the world while Fëanor is only an Elf living in Aman, compelled by the laws of nature and of the Valar in their realm and who can be slain of body. As for the Social Distance, it is of the same kind for Melkor is an Ainu as we said, he took part in the Music, he is concretely a maker of world, hence he owns a social status higher than the one of Fëanor which is only an Elf among thousands. We could also use Melkor's claim as king of the world while Fëanor is just the heir of the Noldor and was nearly a king only for a little time. At last, the level of Rating of Imposition can be found with Melkor urging Fëanor to rebel and leave Aman in a request for actions and in “Here is a strong place, and well guarded; but think not that the Silmarils will lie safe in any treasury within the realm of the Valar!”<sup>330</sup> which can be seen as a disguised threat over the safeness of the Silmarils as a request for non-free goods.

Next, we found face threatening acts in the discourse of Melkor to Ungoliant. Indeed, Ungoliant only accepted to follow Melkor because he promised her a price for her lust. Ungoliant was “loath to dare the perils of Aman and the power of the dreadful Lords, and she would not stir from her hiding.”<sup>331</sup> and Melkor pushed her to follow him which runs against her Negative face needs of freedom of action and from imposition and her Positive face needs of being “mistress of her own lust, taking all things to herself to feed her emptiness”<sup>332</sup>. Melkor directly delivered his face threat: “Do as I bid;”<sup>333</sup> thus commanding her to follow despite her fears. In their talk, we can see the three levels of directness: the one of Power can be seen through the hierarchy between the two participants, Melkor being the most powerful Ainu and most evil creature in Arda while Ungoliant is a lesser entity, probably an Ainu also with a lesser power. Plus, Melkor his named master of Ungoliant during their mischief and her lesser thief when compared to the dark Lord, elements which clearly denote the hierarchical order between the two. The level of Social Distance takes the form of the difference between the social status of the two beings: one is a dark king, master of the monster of Angband and

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330 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 71.

331 *Ibid.* p. 75.

332 *Ibid.* p. 73.

333 *Ibid.* p. 75.

of the Balrogs while the other is alone mistress of her own lust, hidden in a dark place at the end of the world. We could also note the familiarity in talk between the two which is also an aspect of the face threat between the two: Melkor quoting her lust and talking to her as her servant. At last, the level of Rating of Imposition is concerned by the request of actions of Melkor to Ungoliant, asking her to follow him despite her fear of the Valar and their realm.

In their second conversation, where Ungoliant demands the treasures of Formenos to Melkor, both characters receives face threats from each other. Indeed, Ungoliant claim for the gems and Silmarils is a face threat towards Melkor's faces and his claim over the stolen treasures. The three levels of directness are still the same here which accentuates the face threat for Ungoliant breaks the hierarchical order, by demanding her master to lend the Silmarils, as well as the social distance between her and the dark Lord, by using familiarities such as calling him “Blackheart!”<sup>334</sup> which can be seen as insubordination. Further, the level of Rating of Imposition is also broken for she demands the Silmarils which can be said to be the most precious treasure of Melkor and of Arda and thus non-free goods. Melkor's face threat in return tries to establish back the levels as we can see in: “Nay!’ he said. 'Thou hast had thy due. For with my power that I put into thee thy work was accomplished. I need thee no more. These things thou shalt not have, nor see. I name them unto myself for ever.”<sup>335</sup> Here Melkor tries to put back the hierarchical order by commanding her to stop her demand, by putting her back to her place of servant as we can see when he affirms that all she did was only because of his power. He also restores the level of Rating of Imposition by declaring the Silmarils his property for ever, thus as non-free goods. Of course we know that his response did not change the will of Ungoliant for she attacked him in return.

Finally, the last encounter which we will study following the idea of face threatening acts is the one of Húrin and Morgoth. After his capture on the field of battle, Húrin was brought to Angband and chained on a high place upon Thangorodrim where Morgoth cursed him. This act, of course, runs contrary to all of Húrin's faces needs for he fought for the liberty of the free people but ended as a prisoner for a very long time. Indeed, Morgoth took Húrin's land and liberty and cursed his family and himself which can be seen as face threatening acts against the Negative face of Húrin, of his claim of territories and freedom, and against his Positive face, of his public self-image of a great warrior of Men now doomed to sit upon Thangorodrim, motionless and powerless. The face threat of Morgoth is delivered directly:

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334 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 71.

335 *Ibid.* p. 80.

'Sit now there; and look out upon the lands where evil and despair shall come upon those whom thou lovest. Thou hast dared to mock me, and to question the power of Melkor, Master of the fates of Arda. Therefore with my eyes thou shalt see, and with my ears thou shalt hear; and never shalt thou move from this place until all is fulfilled unto its bitter end.'<sup>336</sup>

Morgoth commands the man against his will and thus we can find in the dark Lord's discourse the three levels of directness of his face threatening action. The first level, the one of Power is found with the hierarchical order set between the two characters. Like it was with the *encounter* of Morgoth and Fëanor, here the dark Lord still holds the status of Ainu, immortal entity maker of the world plus king of the North of Middle-earth and of Angband. On the other hand, Húrin is just a mortal man, lord of Dor-lómin and vassal of Fingon High King of the Noldor at the time. The level of Social Distance is expressed with the familiarity and the social status between the two participants. Indeed, Morgoth is a king while Húrin is just a lord. Plus Morgoth's way of talking, which could be qualified as archaic with the use of *thou, hast* or *shalt*, is in contradiction with Húrin's way of talking (found at other times in *The Silmarillion*) which can be said to be more common. The unfamiliarity Morgoth uses to address his prisoner serves to impose his power and social status to Húrin who talks like the common people. At last, the level of Rating of Imposition is found with Morgoth requesting Húrin to give him non-free informations that is the position of the city of Gondolin, which is against Húrin's will and thus his faces needs.

At last we could also note that as Morgoth most of the time threatens the face of others, he also finds his face threatened by the other participants of his different *encounter* such as his brethren who refuse to lend him Arda at the beginning of times. Fëanor who pushes him out of Formenos after he proposed his help to the Elf or when this one cursed him and gave him the name of the Dark Enemy of the World. He is threatened by Ungoliant as we saw and also by Húrin who mocked him and defied him in his own fortress. Hence, Morgoth, from his beginning to his end is always found in face threatening actions, delivered by himself or by his interlocutors. The very public self-image he gives to himself threatens the others for he is characterised, as we saw during all our study, as being a dark lord, from his religious influences to the one of fantasy, a type of character always considered as the enemy of all and the evil of the world.

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336 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 197.

### 3. *Advice-Giving as a face threatening acts*

At last, another aspect of the theory of the three linguists which can be studied in the discourse of Morgoth is the one of studying advice-giving actions as face threatening acts in the discourse of the participants. At first, advice-giving acts are directive speech acts which we studied in the five illocutionary acts of Searle<sup>337</sup>. Directives are aimed to cause the hearer to do something, to take a particular action such as commanding, requesting, advising, etc. But the advice-giving act only benefits the hearer and not the speaker as we can sometimes find in directives: the advice situation involves getting someone to do something for the hearer's benefit<sup>338</sup>. Advice-giving is a conversational action, thus, in this kind of action it can be produced in two different ways: an advice can be self-initiated by the speaker, that is to say that the speaker ask for advice: "I need an advice from you" for example, or other-initiated, that is to say that one of the participants receives an advice: "let me give you a piece of advice"<sup>339</sup>.

Furthermore, advice-giving being a conversational action, the design of the action will depend on the situation and context where the conversation takes place, on the relationship between the participants and on who is advising whom, which is linked to the three aspect of the face threatening acts: Power, Social Distance and Rating of Imposition<sup>340</sup>. Hence, the notion of face threat, of both positive and negative faces, can be involved in the advice-giving act which we just defined. At last, an advice-giving act can take different forms which are direct, explicit, mitigated or implied<sup>341</sup>. Direct advice take the form of a command or exhortation, they take the form of agentless imperative utterances. Explicit advices act as a speech act in their own, the speaker clearly says what he means to the hearer. The mitigated advices are produced when the speaker tries to temper, to softer his advice. In face threat situations, the mitigated advice might help to avoid the other's face destruction. At last,

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337 "Introduction to discourse analysis and pragmatics", class lecture of Pr. Joanna Thornborrow, M1 TILE, UFR LSH Brest, 10 September 2018 (unpublished).

338 *Ibid.*

339 *Ibid.*

340 *Ibid.*

341 *Ibid.*

implied advices are produced when the speaker tries to make his audience understand his advice through an allusion, an innuendo<sup>342</sup>.

In *The Silmarillion*, we find advice-giving actions as face threatening acts in two cases of the discourse of Morgoth: during the *encounter* with Fëanor and then during the one with Ungoliant. We said that advice-giving actions were at first directives which can be found in Searle's classification. Hence we will use our analysis of Morgoth's discourse from this part to find out which directives can be seen as advice-giving actions and particularly as face threats. First we will study the *encounter* with Fëanor. In the quotation: “But if the heart of Fëanor is yet free and bold as were his words in Tirion, then I will aid him, and bring him far from this narrow land.”<sup>343</sup> we said earlier that it was composed of a first directive then of a commissive. The directive found here is then the advice-giving acts we are looking for, indeed, Morgoth produces it in order to make his hearer to do something, that is to say to leave Aman in a rebellion against the Valar. Furthermore, in advice-giving actions, the directive is produced for the hearer's benefit according to the one that produces it. Hence, Morgoth's advice to rebel and leave Aman is made for Fëanor's benefit according to Morgoth's thoughts. A benefit which was to establish his own kingdom in Middle-earth and be freed from the rule of the Valar. The first element of face threat which can be found here is the fact that this advice is of course made out of evil purpose. Indeed, Morgoth advises the Elf to leave Aman only in order to do him harm by stealing the Silmarils and hurting Elves and Valar by the rebellion he is plotting. The commissive following serves only to highlight the advice of Morgoth who proposes his help and to make Fëanor trust him. Moreover, Morgoth's advice is other-initiated, that is to say that Fëanor receives the advice without requesting it. This element will be studied at the end of our analysis because it holds an essential meaning for the character of Morgoth as archetype of evil in his discourse.

We saw that advice-giving actions depend on the context and situation, on the relationship between the participants and on the three levels of directness of face threatening acts. Here, all these factors make the advice of Morgoth a face threat. Indeed, the context and situation of the *encounter* we are studying happens when Morgoth's plots of rebellion through Fëanor and the Noldor have been revealed to the Valar and that he is hiding somewhere in Valinor. All the Elves now know him as a traitor and a liar, that is to say as his true form of

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342 “Introduction to discourse analysis and pragmatics”, class lecture of Pr. Joanna Thornborrow, M1 TILE, UFR LSH Brest, 10 September 2018 (unpublished).  
343 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 71.

dark Lord, which does not put the conversation in a good start. Plus, following the context, the relationship between the participants is also on the level of face threat. Indeed, it is because Fëanor followed Morgoth's previous councils and advices that he was punished and banned from Tirion<sup>344</sup> and ashamed by the Valar in front of his people. At last, the three level of directness are the same which we saw in the previous part, thus on a high level of face threat. Further, this advice delivered by Morgoth takes the form of an implied advice, suggesting Fëanor that his first thoughts in Tirion were the good ones and that he should still follow them, making his implied advice another way to trick his hearer for evil purposes.

Next, we find the second advice-giving as face threat in the *encounter* with Fëanor with: “Here is a strong place, and well guarded; but think not that the Silmarils will lie safe in any treasury within the realm of the Valar!”<sup>345</sup> We said above that the full quote was a directive and a face threat to Fëanor's faces needs. Here the utterance of Morgoth is made in order to push Fëanor to fall into his plot, in order to push him to accept his help by bringing the Silmarils into play. Indeed, through the advice-giving act it was supposed to be produce for Fëanor's benefit which we saw with the previous quote. Indeed, like before, it is part of a face threat because there are evil purposes behind: stealing the Silmarils and the rebellion against the Valar. Here again the advice of Morgoth is other-initiated for Fëanor for he did not asked for it. But as we said we will see this afterwards. The context and situation stay the same with this advice which comes directly as the last studied and the relationship is also of the same kind. We could nonetheless say that the last advice managed to move Fëanor's heart and mind but as it is said in *The Silmarillion* about the current advice: “his cunning overreached his aim; his words touched too deep, and awoke a fire more fierce than he designed;”<sup>346</sup> hence we can see that Morgoth's advice was too much of a face threat for Fëanor due to the implication of the Silmarils. As for the levels of directness, they stay the same than before, thus continuing the face threatening act into the advice. At last, this advice is delivered directly by Morgoth, it is a direct advice, an agentless imperative as we can see in the quote. Morgoth exhorts the Elf to think that the Silmarils are not safe with his brethren around. The directness of his advice as a face threat may explain why it touched too deep the Face of Fëanor.

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344 Tirion is the chief city of the Noldor in Valinor. It is where the throne of Fëanor's father is set.

345 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 72.

346 *Ibid.*

Our third paragraph is concerned with the advice given by Morgoth to Ungoliant. We find it in the chapter of the darkening of Valinor with: “Do as I bid;”<sup>347</sup>, which is a directive of Morgoth. Here the dark Lord commands Ungoliant to follow him in his mischief and it can be seen as a direct advice. Indeed it is an agentless imperative which exhorts Ungoliant to follow her new master and it is precisely the point, Morgoth is the master and this advice she is kind of forced to accept due to the implication of the three levels of directness, which we will see in few words. In his advice, Morgoth tries to make Ungoliant do something for her own benefit. Indeed, this benefit was established by Morgoth himself by setting the price she will receive after her work is done. A benefit which constitutes a face threat in itself because in fact, Ungoliant has no benefit to follow the dark Lord and she is not master of her choices. Here again the advice is other-initiated for Ungoliant. In this *encounter*, the context or situation, the relationship between the participants and the three levels of directness are very different from the ones with Fëanor. Indeed the context is the one of Morgoth coming to seek Ungoliant in her lair, she is hiding from Oromë and his hunters and the fallen Ainu comes to her under his form of ruler of Utumno, under the form of “a dark Lord, tall and terrible.”<sup>348</sup> Thus trying to appear as more powerful than her, as her only master accentuating the face threat by considering Ungoliant as lesser. Indeed, as it is said: “Thus did the great thief set his lure for the lesser.”<sup>349</sup> The relationship between the two participants is also complex.

Indeed, it is said in *The Silmarillion* that Ungoliant descended upon Arda at the beginning of time and that she disowned her master Melkor in order to be mistress of her own lust. Thus the relationship expressed by the two characters is not the same from one another: Morgoth expresses the relationship of master and servant while Ungoliant express the one of two equal beings. The disparity between the relationships expressed highlights the face threat in the advice of Morgoth because it runs contrary to Ungoliant's negative and positive face needs. At last, the three level of directness here, just like it was before, are the same which we saw earlier in our part on the face threatening acts of Morgoth. Furthermore, we could quote the fact that Morgoth “Lightly [...] made this vow, as he ever did;”<sup>350</sup> which runs contrary to the basic rules of conversation and politeness that is to keep a vow produced by a commissive during the discourse in order not to break the relationship established between the Face of each participants.

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347 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 75.

348 *Ibid.* p. 73.

349 *Ibid.* p. 74.

350 *Ibid.*

At last, we can put together the two directives: “Thou hast had thy due.”<sup>351</sup> and “These things thou shalt not have, nor see.”<sup>352</sup> as advice-giving actions and face threatening acts. Indeed we can see these acts as advice, hidden advice which we could translate as a warning of Morgoth towards Ungoliant. The advice taking its full form of warning when it is completed by the representative: “For with my power that I put into thee thy work was accomplished.”<sup>353</sup> where we understand that Morgoth advises Ungoliant not to demand too much because he is the source of her power. First of all, the advice of Morgoth are directives as we said. Thus they are produced in order for the hearer to do something, here to put Ungoliant back to her place of servant. As an advice, it is made for the hearer's benefit, which is found in the following representative, that is that she has not the power to oppose Morgoth's will and claim over the Silmarils. Here again it is Morgoth who decides the benefit of others in order to achieve his plan, to run away and get rid of the spider for this situation. In both utterances, the advice is other-initiated for Ungoliant who receives them without asking. Here at last we can study the fact that Morgoth is always found in other-initiated advices situations.

Indeed, all the advices he produces are made in order to achieve his evil plots or deeds. There is always an evil purpose behind them and the fact that he is the source of all the face threatening advice is a proof of his inherent evil: he is its source as an archetype of evil. In these advice the context, the relationship and the three level of directness change for Ungoliant rebels against her master. The ever growing lust and power of Ungoliant after eating and drinking the light of the Two Trees and of the wells of Varda and the weakening of Morgoth due to his loss of power in favour of Ungoliant is the context. Ungoliant became more powerful and more impressive than Morgoth which reversed the face threatening acts in the *encounter*. On his side, Morgoth's face threat is find in his refusal to lend his treasure while he is trying to set his position of dark Lord back. Thus the relationship changed again between the two and Ungoliant, becoming more powerful, took her liberty back and claimed the title of mistress to her master which runs contrary to Morgoth claim in this positive face.

As for the three level of directness, they are the same which we saw earlier on the face threatening acts happening in this *encounter*, that is to say that Ungoliant's acts now run contrary to all of Morgoth's faces needs as well as Morgoth himself who refuses the demand of the spider which also runs contrary to hers. At last, Morgoth's advices are implied. Indeed,

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351 J.R.R. Tolkien, *The Silmarillion*, *op. cit.* p. 80.

352 *Ibid.*

353 *Ibid.*



the dark Lord tries to make Ungoliant understand her mistake of demanding the treasure by refusing them to her. Making an allusion on the fact that he is the source of her power, as we saw.

In this last part, we saw thanks to socio-linguistic studies that the discourse of Morgoth, the dark Lord of the fictive world of J. R. R. Tolkien was another evidence of the fact that his character is an archetype of evil in *The Silmarillion*. Indeed, with Austin's theory we saw that the discourse of Morgoth, when deconstructed and analysed from the three elements which compose the speech act: locutionary, illocutionary and perlocutionary acts, was filled with evilness according to the standards of fantasy and folktale. Indeed, all his acts were the source of evil deeds in the plot. Then with Searle's classification, we understood in further details that Morgoth's illocutions were made in order to achieve evil purposes in the story, which was another proof of the fact that Morgoth was deeply anchored in the standards of evil in fantasy and folktale. In a second part, we studied the notions of Face and Politeness which are major elements in the understanding of face threatening acts in the discourse of people and here of characters of fiction in socio-linguistic. Hence, we established Morgoth's Face as a source of threatening acts due to his claims over other's properties and the world and his threatening of the peace of all the people of Middle-earth. Through his discourse which can be either direct threats to other's faces needs or hidden threats through cunning advices in order to achieve evil, Morgoth, the Dark Enemy of the World, is truly an archetype of evil even into the socio-linguistic field.

## Conclusion

Let it be through the study of his religious influences, his implication in the structure of the literary genre of fantasy or else in the analysis of his very discourse, the character of Morgoth can be studied from different angles and in a very broad way. He is a complex character, essential to the smooth running of the plot of *The Silmarillion* mainly due to his role as main antagonist but also because of the part he took in the making of Arda and its History. Hence, he holds many facets and notably the one of the chief evil of the world. Thanks to our three part analysis of the character of the dark Lord we managed to give an answer to the problem statement we were wondering at the start of our study. A problem of which the main interest was to confirm that Morgoth was well and truly an archetype of evil in *The Silmarillion*.

In order to do so, we decided to choose three different approaches regarding the character of Morgoth. Approaches which were designed to show the diversity of the theme of evil found with our character study. Our first part in the resolution of the problem statement we were confronted to was to show how Morgoth was imbued by religious influences and more particularly by the Roman Catholic influences of Tolkien's faith. In this part, we outlined the archetypal role of Morgoth by bringing to light the similarities between the fictive character of Tolkien and the archetypal figure of evil in *The Bible*: the character of Lucifer. By demonstrating that the dark Lord of Middle-earth was sharing common traits with the one the book of Christianity, we were able to draw a first sketch of the answer to our problem statement. Next, and following the simile of the two devils in the two different works, we decided to take a more philosophical perspective by studying the character of Morgoth according to the Manichean view of good against evil. Hence, not only did we showed that the fictive mythology of *The Silmarillion* was bathed in some Manichean influences, but also that Morgoth could easily be associated to the side of Darkness in the philosophy. Hence, adding a new cornerstone to our idea of religious influences concerning the archetypal role of Morgoth. The last point of our first part was concerned by more philosophical theories with a critic of this Manichean philosophy. This critic was mostly carried by the work of two philosophers who debated on the origin of evil in the world named Saint Augustine of Hippo and Gottfried Wilhelm Leibniz. Thanks to their ideas, we were able to see the character of Morgoth as more than a character of fiction. Indeed, he can also be

seen as a symbol of the original or inherent evil of the world presented by the two philosopher, carrying its essence and, in the case of *The Silmarillion*, showing that the world of Tolkien is much more complex than what the Manichean influences were proposing. Showing that the character of Morgoth was more than a simple archetype of the Manichean philosophy.

With the study of the literary structure of the character of Morgoth, we were able to support our first argumentation of the religious influences making the character an archetype of evil in *The Silmarillion*. In this new analysis we managed to set Morgoth in a study of the genre of fantasy, of the folktale and at last in a semiotic analysis according to our problem statement. Hence, we first studied the structure of the character of Morgoth according to the literary genre he is part of: the fantasy genre. We saw then that the character, due to his characteristics, could be identified as the figure of the dark lord in fantasy, a figure which is commonly seen as an archetype of evil. An idea which was approved by the further analysis of his creations and actions, both set as deeds of evil in *The Silmarillion* and in the genre of fantasy as commonly assigned to the figure of the dark lord. Next, we decided to study the character of Morgoth according to the formalist approach of Vladimir Propp on the folktale. In this part, thanks to an analysis of the structure of the genre and of the elements which can be assigned to the notion of evil in this structure, we saw that Morgoth could be assimilated to the figure of the villain in the folktale. Indeed, following Propp's analysis, we managed to see that the functionalities and the characteristics of Morgoth as a character were to be seen as the same as the ones of the villain. Following the analysis of a sequence of *The Silmarillion* in order to complete our study of the folktale, we were able to support this idea and prove it. Hence, we saw that the figure of the villain in the folktale, such as the one of the dark lord in fantasy, is an archetype of evil and that Morgoth shares its characteristics. The last point of this part was concerned by a semiotic analysis of the character of Morgoth thanks to Ferdinand De Saussure's ideas on signs which enabled us to depict the signs of evil in *The Silmarillion* as well as those attached to Morgoth in the story, making him an archetype of evil.

At last, we ended our study with a third part concerned by the discourse analysis of the character of Morgoth. After establishing the dark Lord of Arda as an archetype of evil according to his main religious influences as well as according to the literary genre he is part of, we then saw that his very discourse is a mirror of his evilness. Indeed, in a first part we

studied the speech acts of Morgoth according to the theories of Austin and Searle on the structure of these acts. This enabled us to see that his speech acts were made in order to achieve evil purposes as well as made out of them. Furthermore, this two-point last part was concluded by a study of the notions of Face and Politeness found with the character of Morgoth. Thanks to this part we saw that, like his speech acts, Morgoth owns the traits of a character of evil. Indeed, his actions in his discourse towards the other characters are bathed in wickedness for they are always produced in order to achieve Morgoth's evil plans and, consciously or not, to threaten the Face of his audience. The dark Lord is then an archetype of evil even into his very discourse.

In our study, we sometimes saw that Morgoth maintained a particular relationship with the character of Sauron. Indeed, this last one was his chief servant and after Morgoth's fall, Sauron took his place and role as a dark lord. What would be interesting here is that we could study the realm of Sauron as compared to the one of Morgoth. That is to say how the land of Mordor can be seen as the ideal place for evil.

## Appendix

### Summary of the main parts of *The Silmarillion* under study

#### Ainulindalë:

The Ainulindalë, being the first part of *The Silmarillion*, is the story of the creation of the world by Eru Ilúvatar and the realization of his vision by the Ainur. Ilúvatar proposed to the Ainur a major theme of Music which was made in order to forge the world and each of the spiritual being had a part in it according to the knowledge they were given by Eru. In the midst of the song, the Ainu Melkor, the most powerful among them, rose in discord in order to bring his own thoughts and desires into the creation. The music was ceased three times by Ilúvatar in order to stop Melkor in his discord but the world was nonetheless marred. The Ainur were given a vision of the world to come by their creator and some were allowed to descent into Arda in order to shape it for the coming of the Children of Ilúvatar: Elves and Men. But Melkor too was there and he took part in the forging of Arda, unsuccessful declaring himself king of the world and turning all that his brethren had done into chaos.

#### Chapter 1: Of the Beginning of Days

At the beginning of days and before the world was completely shaped, a war was waged between the Valar, the Ainur who had come into Arda, and Melkor for the dominion of it. Melkor was pushed out of the bounds of Arda by the Vala Tulkas and peace was made for the first time in the world, enabling the Valar to finish their labour. In this time of peace was forged the Two Lamps Illuin and Ormal in order to bring light to the world and to make thing grow and live. While the Valar were resting from their labour, Melkor came back to Arda in force and started to build a great underground fortress named Utumno. The green world was then stained by the evil of Melkor who decided to bring down the Two Lamps. In their fall the land was broken and the home of the Valar on the Isle of Almaren was destroyed. The Powers managed to restrain the chaos following and established their new realm in Aman at the western side of the world. In this new home was brought into being the Two Trees by the Vala Yavanna which shed light upon the realm of Valinor. Middle-earth on the other hand was left into darkness and the servants of Melkor ruled over it though hunted by the Vala Oromë at times.

### Chapter 3: Of the Coming of the Elves and the Captivity of Melkor

While Valinor was blessed by light, Middle-earth was still under the control of Melkor and his followers and at the time he built a second fortress in the North of the world named Angband. The first Children of Ilúvatar appeared shortly after the making of new formations of stars by the Valar and soon Oromë found them. But Melkor was the first to discover their existence and he capture those who lost themselves and brought them to Utumno. This is through torture and malice that these Elves were made into orcs. Knowing that the elves were in peril, the Valar decided to wage war against Melkor. In their fight, Utumno and the land was broken and Melkor was captured and chained in the cavern of the Vala Mandos, waiting for his judgment. The Elves were summoned to Valinor by some refused and decided to stay in Middle-earth now free from evil. But the Valar in their haste did not discover all the secret tunnels and caves under Utumno and many of the servants of Melkor were still hiding in the world.

### Chapter 8: Of the Darkening of Valinor

Melkor, after his evil plans were revealed to the Valar, fled the realm of his brethren towards the south of Aman in order to find the giant spider Ungoliant, a spirit of evil from the beginning of time. The fallen Vala persuaded her to follow him in his mischief and together they went back to Valinor. Using the lack of vigilance in the realm due to a time of festival made in order to heal the wrongs of Melkor between the Elves they entered the realm of Valinor. Unseen under the cover of the Unlight of Ungoliant, Melkor and the spider poisoned the Two Trees which led to their death. Valinor then fell into darkness and the Valar, as well as the Elves, were dismayed.

### Chapter 9: Of the Flight of the Noldor

While Valinor was plunged into darkness messengers from Formenos, the fortress of the Elf Fëanor and his father the king of the Noldor, came to the place of the festival to inform the prince of the death of his father and the thief of the Silmarils. Fëanor then cursed Melkor naming him Morgoth and left the Valar in order to join Formenos. Meanwhile, Ungoliant and Morgoth fled Aman to the north and crossed the Helcaraxë, the great frozen land of Arda. When they reached Beleriand, Ungoliant demanded in her lust for light that he give her the treasures of Formenos and he reluctantly handed them. But when she asked for the Silmarils,

Morgoth refused and they entered in a fight. Ungoliant had the upper hand but the cry of Morgoth awoke his servants the Balrogs and they came to his aid and the spider fled. Morgoth and his servants went then to Angband where he started the rebuilding of his realm. In the fortress he made an iron crown where he set the Silmarils as a symbol of his power. While Morgoth was returning to Middle-earth, Fëanor summoned his people the Noldor, declared himself king following the death of his father and bade them to leave Valinor in order to seek the free land of Middle-earth. He, and his sons, then made an oath to win back the Silmarils from Morgoth. Most of the Noldor followed Fëanor despite the Valar's reluctance to let them go. In need of ships, Fëanor and some of his followers slew the Telerin, another Elf house, and stole their boats. On their way to the north, the Vala Mandos met them and set a doom on the Noldor who went with Fëanor. The Elves arrived in the frozen north and were divided when Fëanor betrayed his half-brother Fingolfin by stealing the ships and abandoning them in the Helcaraxë. When he arrived in Middle-earth, Fëanor burned the stolen ships.

#### Chapter 11: Of the Sun and Moon and the Hiding of Valinor

After the darkening of Valinor and the flight of the Noldor, the Valar sat long in council. The Two Trees were definitely dead even with the work of the Vala to heal them. But the Trees gave two last leaves which were made into astral beings known as the Sun and Moon. Two Maiar were selected to hold them and to cross the sky in order to make the times of day and night. When the Moon was the first to arise, many living things which were sleeping awoke and all the elves of Middle-earth were delighted. At the same time, the host of Fingolfin arrived in Beleriand. After a while, the Sun also was set into the sky and at her coming Morgoth and his servants were dismayed and fled deep in Angband in order to be hidden from the new light. Then he tried to assail the Sun but having lost a major part of his power in the making of his evil creations he could not resist her glance. He then covered his realm with dark fumes in order to hid the Sun.

#### Chapter 17: Of the Coming of Men into the West

It came to pass that Men crossed the Blue Mountains and the Elves found them. They were taught many things by the first born and became wiser to their contact. The Elves learned that they had fled the East in fear due the evil deeds of Morgoth who first came when they awoke and he tried to push them to act against the Elves. With the impulsion of the

Elves, Men were given lands to live in Beleriand and other tribes of their people came from beyond the mountains to join them. Thus, Elves and Men became close and some of the second born became servants in the house of their elders and lived with them. But still Thingol king of the Sindar ordered to prevent any Man to enter his realm due to a vision of evil that would come from them. With time passing, rumours arose among some of the people of Men that the Elves were hiding the truth. That is to say that there were no gods, no light and no dark lord in the north, hence they should flee from the Elves and their fights in order to live free and peacefully. Morgoth, seeing that he could not set Men against the Elves, send raids of Orcs in order to kill the second born. But the Orcs were slain by the Elves who had come to Men's aid. The survivors left their land to seek home in the forest near Doriath and great friendship was found between the two people as Men fought alongside Elves in the fight against Morgoth.

#### Chapter 18: Of the Ruin of Beleriand and the Fall of Fingolfin

While the siege of Angband had lasted for years, it all ended with the battle of the Sudden Flame where most of the host of the Noldor, the Sindar and of Men was destroyed by the great fires Morgoth sent forth. The land known as Ard-Galen about Angband was burned to ashes and named thereafter Anfauglith. The survivors fled and spread in fear in Beleriand while the forces of Morgoth was pouring out of Angband in order to take control of the land. Hearing that most of the forces of the Noldor was defeated, Fingolfin rode alone to Angband in order to defy Morgoth in single fight. Together, they fought long but Morgoth had at last the upper hand and crushed the High King of the Noldor under his foot. The body of the Elf was saved from the hunger of the wolves of Morgoth by the king of the Eagles and he was buried by Turgon above Gondolin. The forces of Morgoth took over all the land about Anfauglith and managed to push back the Men of Dorthonion which were all slain save one: Beren. In all Beleriand the servants of Morgoth won battles and lands over the free people and at the same time the Men known as Easterlings, secretly under the power of Morgoth, came from the East and made friendship with the Elves. Meanwhile, the two Men Húrin and Huor were saved from certain death by the king of the Eagles with the help of the Vala Ulmo and brought to Gondolin. After a while living in the city, they were send back to their people as they wished it. With Morgoth's taking over Beleriand, Turgon lord of Gondolin send forth ships in order to demand the pardon of the Valar but none came back. Knowing this, Morgoth



feared that help could come and he then called back his forces as Men and Elves were winning back what they had lost in battle. He send spies in place of armies and started to rebuild his strength lost in battle. Years latter, he sent forth Orcs to Dor-lómin in order to take over the land and kill its inhabitant. But they were defeated by the Elves and Húrin became lord of Dor-lómin.

### Chapter 19: Of Beren and Lúthien

After the massacre of his people in Dorthonion by the forces of Sauron and an exile in his own land, Beren fled to Doriath where he met there Lúthien in a forest and they both fell in love for each other. Lúthien's father, Thingol the king of the Sindar, did not desired to see a Man with his daughter and he gave Beren a quest that he would have to fulfil in order to win the hand of Lúthien. This quest was to steal one Silmaril from the crown of Morgoth. This brought the doom of the Noldor to Doriath and evil befell on the land and its people. Beren then went on the quest and assemble a group in order to fulfil his quest. But the group, while trying to pass into the land of Morgoth, was discovered by Sauron who caught them and imprisoned them in his tower. There all the members of the group were slain by Sauron save Beren who was saved by Lúthien that came to his aid. There Sauron entered in a fight with Huan, the hound following Lúthien and lost. Sauron fled from his tower and Beren was freed from his claws. After some adventures and a return to Doriath, Beren decided to fulfil his quest and went back to the land of Morgoth. He was joined in his way by Lúthien and they both went under the cover of a disguised to Angband. There Lúthien made Carcharoth the guardian of Angband's gate fell in sleep and they entered the fortress of Morgoth. They met him in his great hall and with some sorcery Lúthien made all the courts of the dark Lord fall in sleep which permitted Beren to steal one of the Silmarils. They fled the fortress but were caught by Carcharoth who bit the hand of Beren that was holding the Silmarils. The great wolf was burned from inside and fled in madness while the two lovers were saved by three great eagles and bore back to Doriath. There Beren was healed by Lúthien and he claim before Thingol that he had indeed stolen a Silmaril showing his missing hand to the king which e=moved Thingol's heart who let Beren take Lúthien as his wife. But Carcharoth came to Doriath and in his madness killed all that was in his path. Thus Beren decided to hunt the wolf down with the help of some Elves and Huan. Both Beren and the hound were slain in the battle but the Silmaril was taken back as Carcharoth had been defeated. Lúthien managed to

meet the Vala Mandos in order to meet Beren one last time and due to her song of sorrow they were permitted to go back to Middle-earth as mortal which was what they choose.

#### Chapter 24: Of the Voyage of Eärendil and the War of Wrath

Eärendil was a great mariners and lord of the people at the river Sirion. With his ship his aim was to find his parents and to manage to join the western shores of the world in order to demand the help of the Valar in the war against Morgoth. But her wife Elwing held the Silmaril stolen by Beren and soon the oath of the son of Fëanor led the last of them to attack the people of Eärendil in order to steal it. Eärendil's sons were taken captive by the sons of Fëanor and Elwing cast herself into the sea with the Silmaril. She was saved by Ulmo who brought her back to the shores and gave her the form of a great bird with the Silmaril on her crest in order for her to meet her husband. Together they went to Valinor and Eärendil finally met the Valar in their home. There the mariner asked the aid of the Valar for both Elves and Men and his demand was granted. His boat was allowed and send through the Door of Night and with him was sent the Silmaril while Elwing stayed in Valinor to wait him. Thus, the Silmaril became a new star in the sky of Arda. Thus, the Valar went in open war against Morgoth and landed in Beleriand with a great host. Both armies met on Anfauglith but the hosts of Orcs of Morgoth were destroyed as well as most of the Balrogs. In a final battle, the dragons of Morgoth were defeated and Thangorodrim destroyed by the fall of their leader. Morgoth was defeated and the Silmarils taken back. The dark Lord was chained and wounded and thrown into the Void out of the bound of Arda. During the battle, the land was broken anew and Beleriand drowned. While the two Silmarils rested in the camp of the Valar, the last two sons of Fëanor stole them but the Doom set upon them drove them to madness and they ended their lives, casting the Silmarils into sea and fire. Hence, the Silmarils were completely lost except for one and the Elves of Beleriand were pardoned and permitted to go back to Valinor. Thus ended the reign of Morgoth upon Arda until the world's end.

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