EDITOR’S NOTE

DREAMWORKS is an interdisciplinary quarterly devoted to the art of dreaming. We believe that the dream process lies at the root of human creativity and that the dream bears an essential relationship to all waking art forms. The purpose of this journal is to bring together the latest thinking on the dream process from many fields—aesthetics, anthropology, criticism, neurophysiology, philosophy, psychology, religion—and to gather dream reports and adaptations from artists working in various media.

Each year the Spring issue will focus on Dream & Film, the Summer issue on Dream & Literature (alternating between Poetry and Fiction), the Fall issue on Dream & Performance (including the Visual Arts, Music, Dance, Drama and Ritual, Conceptual Art), and the Winter issue on Dream Genres (such as Nightmares, Flying Dreams, and Children’s Dreams). We welcome your response and contributions.

Kenneth John Atchity Marsha Kinder
Rome, Sept. 28, 1977—I am sending you a now distant dream. It's 15 or 16 years old, perhaps even older. It made a particular impression on me and I can remember it clearly.

I am the Director of an airport. A very large plane filled with passengers lands in the middle of the night. I get ready to greet the passengers from behind my table in an immense terminal room with glass walls. Beyond them, I can see lit runways and the large shape of the airplane that has just landed. I get ready to greet the passengers. As the top man in the airport, I also run the Immigration Office. They've all deplaned. Tired from the trip and sitting on benches along the walls, they all wait for me to gesture them over to my table. One of the passengers strikes me more than the others. He's standing over to one side all alone without luggage. When he approaches my table, I notice he's wearing a fancy, worn kimono which gives him a stately, raggedy appearance. Everything about him shows and is, in contrast, like him. The definitely Mongolian Oriental features express great, regal and miserable dignity. It could be the face of an Emperor, of a prophet, of a Saint, but also one of a gypsy, of a wayfarer, of a strolling player who's become indifferent to disdain and suspicion through long habit to mortification and misery. His hands hidden in long sleeves of his kimono, his eyes closed, the foreigner waits my decision in silence. I am overcome by an indefinable feeling. This character fascinates me and communicates a kind of restlessness I cannot control. The other passengers over there say nothing. They're a dark, silent, indistinct mass. The airport terminal is immense. The passenger is motionless, standing straight in front of me with his greasy, dirty hair; with the kind of smell vagabonds have... the ugly smell of wet rags, of soaked leaves, of dirt. And, at the same time, with that strange, disturbing, aristocratic glow. He opposes my discomfort and very emotional insecurity with the definite, unequivocal reality of his arrival and presence. What should I do? The man doesn't speak, doesn't ask for any intervention, doesn't ask questions: he just waits calmly with the confidence of someone identifying himself with an unavoidable event of destiny. It's true. The circumstance doesn't concern him, it concerns me. I'm the one who must decide if he can enter or not. He did what he had to. Now it's up to me. All he had to do was to arrive and now he's here. The suspicion that the situation is so inevitable increases my discomfort, my state of malaise. I stammer some hypo-
critical excuses, heat up assuring him I'm not really the Airport Director and the
decision doesn't depend on me. It depends on other, more competent, more
important people. I stall, try to avoid the situation, keep coming up with
justifications and childish lies which are less and less convincing. I'm more and more
embarrassed until I become silent, seized by a confused, suspended feeling of
shame. A great silence falls on everything. I feel as if so much time had gone by... the
unreachable, impenetrable, dusty and gleaming Oriental is still there in front of me,
waiting. But for how long? I've lowered my head and stare at the little rectangular
plaque on my desk with the words "THE DIRECTOR" on it with a uncomfortable
feeling of ironic self-pity. Are the others still there? And the mysterious passenger
from the Orient? Is he still waiting? I don't dare raise my head and slowly form this
thought: what am I afraid of if I do raise my eyes? To find the foreigner still there
or not to find him at all anymore? (October 1961)
Driving in the car, a BMW2002, down a road, probably the freeway in Los Angeles... My wife if sitting next to me... A large truck is driving behind me. The driver is tough-looking. He is waving to me, saying something I can't quite make out... Finally, I hear what sounds like the word "suppress"... "suppress"... Then I see that he is pointing at my tires and it is clear to me that he wants me to know that my tires are low, that it is dangerous to drive this way... I pull into a gas station. There is a white-haired attendant. I get out of the car and the two rear tires are almost flat. I am very disturbed. Boy, is this dangerous, I think... I get the air-hose and start to fill up the two rear tires (the front tires are fine)... but I don't know how much air to put in the tires. I get the white-haired attendant's attention and ask him to measure how much air I need. He inserts an instrument into one tire and says to me... "This tire is fine. You don't need any more air." "But they're still low," I shout... "This is very dangerous"... "No, it's not," he says... "It is perfectly safe to drive this way."... The white-haired man is very calm. (November 4, 1977)

I prefer to reject the obvious sexual connotations of the dream since my sex life is so wonderful. Instead, I read it as a comment about my usual confusion after finishing a film about when to start the next film and what to film, what to write, etc... The tough guy is telling me it is dangerous to ever slow down and not be full... i.e. creative... the white-haired man (my older, wiser self) is saying that it is all right to take one's time, that one doesn't always have to be "full" to live... it is safe the way things are... I suspect that most creative people are afraid that if they stop working for too long they may stop forever. I know I have this quirk. Probably I'm wrong about the entire dream and it is all sexual.
DREAM REPORT

By Dusan Makavejev

Twenty years ago I had the following dream, but I still remember every single image as if it has happened to me only yesterday. Perhaps just because it was a dream I remember these "events" with the utmost clarity.

I am given a series of fairly big-sized photographs (ca 25 x 30 cm). They show vague contours as if they were taken underwater. (This dream was dreamt long before the appearance of Antonioni’s Blow Up.) I am asked to attempt a "decoding" of these photographs as they show what a murderer saw. It is assumed that if we find out exactly what he has seen, we shall also find out something about the murderer. Looking intently, tensely at these pictures I feel a vague excitement as if I were on the trace of something; the pictures gradually become clearer. The excitement culminates at the moment I grasp that I "understand" these photographs better and better; in fact, I recognize them! Seized by horror, I recognize that these scenes were seen by my own eyes—I am the murderer.

From this sudden excitement, consisting of a mixture of knowledge and fear, I pass abruptly into a very quiet and calm state—I find myself in a completely white room. Walls, ceiling, door and windows, everything is white. The room is completely empty. I note a white wire climbing up the wall, from the floor to the ceiling. It is probably an electric wire; actually it’s burning. It burns soundlessly and slowly, emitting harmless white sparks, like a Christmas sparkler. However, it burns constantly, like a fuse. The sparkler moves slowly up the wall, now it is around the middle. I begin to feel very pleasant, gradually becoming more and more elated. At the moment of big joyous excitement, an euphoria that overwhelms me without any reason, I realize it is due to the presence of a larger quantity of ozone in the air, while the higher ozone concentration in the air occurs with the radiation. In fact, the moment you feel elation and ozone, it is already too late to worry about one’s life, you have been irradiated and are practically dead—the process is irreversible. The sparkler almost reaches the ceiling and I wake up—very elated and terrified.

Both parts of the dream were dominated by two emotions which did not cancel but enforced each other, the contradiction notwithstanding.

In the first part, the joy of knowledge and the beaming caused by the achievement of the solution plunged headlong into, and tempestuously mixed with, the feeling that I am entraped, caught, that there is no way out. In the second part, the extremely pleasant state suddenly became lined with horror, and again—with a feeling that all is over, there’s no way out, death is imminent, but I feel happy and blissful, and this also cannot be changed, it is an objective condition.
FILM AND THE PHYSIOLOGY OF DREAMING SLEEP: 
THE BRAIN AS A CAMERA-PROJECTOR 

J. Allan Hobson

This essay defines a new trend in the biology of the dream process with strong implications for the filmic portrayal of dream imagery. This approach is based on two assumptions. First, just as there is an isomorphism, or a similarity of form, between the brain events in dreaming sleep and the dream, so also is there an isomorphism between cinematographic techniques and the film image. Second, these two isomorphisms are not independent since both depend upon the activation of the visual system of the brain that results in visual perception. An important question is whether the difference in the state of the brain that determines whether we see externally generated images (when we are awake) or internally generated images (when we dream) can be modeled or mimicked by varying cinematic format. If the answer to this question is yes, we might take seriously Fellini's proposition that film is a dream for the waking mind, and its exciting corollary that film is a model of the dream experience.

Surrealism and most expressionist presentations of dreams on film have been greatly influenced by the Freudian approach to dreams. This is particularly evident in the films of Ingmar Bergman, which provide an extremely extensive and intensive application of psychoanalytic principles. Films enter the mind directly and are in some ways more powerful than books; the immediate and direct access of films to the minds of millions makes Bergman one of the leading promulgators of psychoanalytic theory. Unfortunately, however, psychoanalysis is not only liberating but constraining; since many of its central hypotheses are manifestly incorrect, the promulgation of these views is both problematical on the plane of culture and severely limiting on the plane of film making.

Few people realize the degree to which Freud was influenced in the development of his theory by his early and extensive experience in neurobiology. Since any view of the mind is also a view of the brain, it is my thesis that the Freudian view is highly dated and in many details incorrect.

Freud published The Interpretation of Dreams in 1895. It was the direct transliteration of ideas developed in an earlier work that he had not published, the "Project for a Scientific Psychology" on which he worked between 1890 and 1895.

*Portions of this essay are taken from a chapter entitled "Dream Image and Substrate: Bergman's Films and the Physiology of Sleep," to be published in Film and Dreams: An Approach to Bergman. Reproduced by permission of the editor, Vlada Petric, and Redgrave Publishing Company.
The ways in which Freud's view of the nervous system was expressed in the "Project" and how it influenced the basic hypotheses developed in *The Interpretation of Dreams* have been detailed in a recent paper (McCarley & Hobson, 1977). To give but one example, the fact that nerve cells as conceptualized by Freud were incapable of inhibition led him to conclude that the system was incapable of cancelling energy. Nervous energy was thought of as forever trapped within the system unless discharged in motoric action. Freud's dream theory was thus based upon the questionable notion that during sleep this pent-up energy pressed for discharge and was realized as the dream. Freud denied that any of his statements about dream psychology were to be construed as having even the slightest physical connotations, but it is impossible not to see the isomorphism or basic similarity of form in his ideas about the brain and his ideas about the mind (see Figure 1). An alternative hypothesis has recently been detailed in a paper entitled "The Brain as a

![Diagram](image)

**Figure 1:** A) This sketch illustrates Freud's concept of diversion of neural energy through a "side-cathexis." The normal flow of energy (arrow labeled Qn in Freud's script) is to neuron b; Freud postulated that a side-cathexis of neuron alpha would attract Qn and divert the flow from neuron b. Freud believed this postsynaptic attraction of energy or side-cathexis (for which there is no experimental support) to be the neuronal mechanisms underlying repression. Now that we know that neural energy can be cancelled through inhibition there is no need to postulate either repression or side-cathexis.

![Diagram](image)

**Figure 1:** B) This model appears in the seventh chapter of *The Interpretation of Dreams*. W is the German abbreviation for the perceptual system. The constituent elements of the main or psychic system (not labeled as such in the original figure) are as follows: Er, memory; Ubw, unconscious; and Vbw, preconscious. M indicates the motoric system. The arrows indicate the normal direction of energy flow. Although Freud did not include as much detail in this drawing, the full model as outlined in his text is virtually identical to the brain model of the "Project." We now know that nervous energy arises within the system and can be cancelled through inhibition. (Modified from McCarley & Hobson, 1977, by permission.)
Dream State Generator: An Activation Synthesis Hypothesis of the Dream Process” (Hobson & McCarley, 1977). It is now known that hallucinoid dreaming is of physiological origin and that ideas present in dreams are responses rather than stimuli. The view that the dream is bizarre owing to the work of the censor who must disguise threatening dream thoughts into the bizarre imagery in dreams may also be discarded. Instead, many of the bizarre features of the dream can be confidently ascribed to the unusual operating properties of the nervous system during dreaming sleep. Finally, Freud’s central hypothesis, that every dream represents a wish fulfillment, can also be questioned; that dreams may sometime express wishes is not to be denied, but the dream state is also quite capable of carrying motivationally negative and motivationally neutral information.

TWENTIETH CENTURY TECHNOLOGY
AND THE EXPLORATION OF INNER SPACE

The electrical activity of the human brain was first recorded by Berger in 1928, the year of Buñuel’s An Andalusian Dog and Freud’s Future of an Illusion. One of the observations that made Berger believe that the rhythms he recorded were of physiological origin was the change that occurred when subjects went to sleep. The obvious implication was that the brain changed state when the mind changed state in passing from waking to sleep (Berger, 1930). This discovery was soon confirmed by the British physiologists, Adrian and Matthews (1934), who invented the electronic oscilloscope. The oscilloscope not only permitted brain waves to be visualized, but also led to the ability to study individual brain cell activity.

The development of the electroencephalograph and the oscilloscope may well be as significant to natural philosophy as the development of the telescope in the 16th century. The Copernican model of the universe as heliocentric rather than geocentric is analogous to the contemporary view that truth, as Freud supposed, is to be found by an inward exploration of the human mind. We now recognize the mind as the functional state of a universe of nerve cells as complex in its organization and as orderly in its operation as the galaxies explored by the early astronomers. In the 50 years between 1928 and 1978 not only was the eye cut, but the brain was opened, and man, for the first time in his history, recognized the galaxy of his own brain-mind.

The explosion of discoveries in neurobiology was occurring at the same time that Bergman was preparing his first major films. Human sleep was recorded throughout the night by Loomis, Harvey, and Hobart (1937), and a regular progression of changes was noted in the electroencephalographs. Individual neurons were recorded and the concept of inhibition, long intuited by physiologists, was established as a key mechanism of nervous action. The changes in EEG activity which (as Berger was the first to note) accompanied the transition from waking to sleep were found to be reversible by Moruzzi and Magoun; in 1949 they stimulated the reticular formation, a part of the brain not far from the waking center postulated by Von Economo (1926), thereby activating the brain, causing arousal. Neural activity was thus clearly shown to be electrical and to be organized in such a way as to account for the differences between the conscious states of waking and sleep. The signal unit of the nerve cells, the action potential, was shown to have an ionic basis by Hodgkin and Huxley in 1948 (Hodgkin, 1964). Thus all neural action, excitation, and inhibition were realized as the flux of particles across the membranes of nerve cells.

J. ALLAN HOBSON
CORRESPONDING STATES OF BRAIN AND MIND IN DREAMING SLEEP

In 1953, the same year that Bergman released *Naked Night*, the correlation between REM sleep and dreaming was made (Aserinsky & Kleitman). The dream process was clearly shown to have a physical basis, and more specifically, to coincide with a particular state of the brain, and the imagery of dreams was quickly shown to be related to the intensity of the rapid eye movements generated during that brain state. A correlation was found between the direction of eye movement and the direction of visual gaze in the dream.

The discovery by Aserinsky and Kleitman (1953) that reports of hallucinoid dreams followed awakenings from REM sleep marks a watershed in our understanding of the dream process. Following up on this discovery, Dement and Kleitman (1957) quickly established a differentiation between the mental activity associated with REM and that associated with non-REM sleep. While mental activity described following awakenings from non-REM sleep was thought-like and highly nonsensory, the activity described by individuals following REM sleep awakenings was vividly sensory. Among the senses represented in the dream, the visual, positional, and auditory are the most prominent. Thus the classic definition of the dream as a mental experience characterized by hallucinoid imagery predominantly visual and often vivid was given a physiological substrate in REM sleep.

Other features of the mental activity in REM sleep are "bizarre" elements due to spatiotemporal distortions such as condensation, discontinuity, and acceleration, and the delusional acceptance of these visual and other sensory phenomena as real at the time when they occur. Strong emotion may or may not be associated with these distinctive formal properties of the dream, and when associated, they may or may not appear relevant to the imagery of the dream. Recall of dreams is severely limited if awakenings are performed as much as 5 minutes after the end of a REM sleep episode, whereas if they are performed within the REM sleep episode, rich, extensive, and vivid recall is commonly observed. This suggests that the difficulty in recalling dreams is a function of awakening conditions. When an arousal occurs in REM sleep, recall is markedly increased. This finding suggests there is a state-dependent amnesia characteristic of the REM sleep-dream process, and that a rapid state change to waking is absolutely essential in order for the dream to be recalled. The concept of repression as a mechanism accounting for poor dream recall is no longer necessary, even though it is not disproved.

THE BRAIN AS A DREAM MACHINE

Dement (1960) not only confirmed the Aserinsky and Kleitman discoveries but also extended them in several important ways. When repeatedly awakening subjects while they were in REM sleep, he noted that the tendency to reenter that state increased as a function of the repeated REM sleep awakenings. These deprivation experiments suggested that REM sleep (which had already been noted to be constant both in its periodic recurrence throughout sleep and in the amount of sleep spent in that state) is dynamically controlled: when subjects were prevented from entering REM sleep, their tendency to enter that state increased and the REM sleep lost by deprivation was recovered. These findings clearly suggest that REM sleep is a highly automatic, physiological function of the organism. This does not mean that the correlated dreams have no meaning but clearly indicates that the psychological aspects of the dream are relatively unimportant in determining the time of occurrence and the duration of the dream experience.
Dement was also quick to realize the possibility that REM sleep might be common to other mammals and, in 1958, he showed that man's common bed partner, the cat, has REM sleep. The cat's REM sleep occupies about the same relative amount of sleep as man's, but has a shorter period of recurrence. The cat has REM sleep episodes of about 6 minutes duration once every 30 minutes, whereas man has REM sleep periods of about 25 minutes duration about every 90 to 100 minutes. This important discovery suggests not only that the basis of dreaming is physiological but also that its physiological basis is a widely shared brain property of mammalian animals. Dement thus provided an animal model for the study of the brain processes underlying the dream state in man. This animal model is physiologically valid whether or not the cat actually experiences dreams; it is also psychologically valid if the questions asked of the model are simple and basic. For example, the model would clearly be valid at a perceptual level (since cats undoubtedly see and hear) if not at a conceptual level (because we cannot know whether cats think).

The periodicity and consistency in the appearance of REM sleep suggested a stereotyped, automatically triggered physiological process. In 1959, Jouvet and Michel confirmed Dement's discovery of REM sleep in the cat and added the important observation that, associated with the wake-like electroencephalogram and REMs of this state, there is a complete abolition of muscle tone. Jouvet (1962) performed a series of experiments indicating that the trigger for REM sleep is located in the pontine brain stem just posterior to the region that von Economo had suggested might be important in the regulation of waking in 1918. As shown in Figure 2, the REM sleep generator was localized very near the wake state generator, and the way was open for a detailed exploration of the neuronal mechanisms by which the REM sleep state was generated.

![Diagram of Dream State Generation](Image)

**Proceses Accounted For**
- Activation of forebrain
- Blockade of exteroceptive input
- Blockade of motor output
- Oculomotor activation
- Provision of forebrain with internally generated information

*Figure 2: Sagittal Section of the Cat Brain and Showing the Bulbar (BRF), Pontine (PRF), and Midbrain (MRF) Divisions of the Reticular Formation (Modified from Hobson & McCarley, 1977).*

J. ALLAN HOBSOn
By recording the individual nerve cells during the states of waking and sleep in the cat, it was possible to show that REM sleep is associated with high levels of activity in most brain neurons (Steriade & Hobson, 1976). Particularly striking activity was recorded in parts of the visual system. On the sensory side, activity in the visual relay nucleus and the visual cortex was not only at a high level, but showed peaks of discharge associated with the rapid eye movements. On the motor side, the rapid eye movements themselves appeared to be generated by the activity of a group of giant cells in the pontine brain stem whose bursting discharge preceded the eye movements during REM sleep. Thus the possibility was raised that specific visual information might actually be generated within the brain. The giant cells not only may drive the eye movements but also may send information into the visual relay nucleus and cortex about the direction and speed of the eye movements. Since this information is highly non-ordered with respect to the external visual world, scene shifts and dramatic changes in visual dream content might possibly be a function of the generating system rather than a censor's attempt to disguise the ideational meaning of "dream thoughts."

THE DREAM AS A PHYSIOLOGICAL RORSCHACH TEST

The self-activated brain during the dream state could be compared to a tachistoscope sending, at random, unpredictable, and rapid intervals, sets of images not easily integrable into a single whole. The analytic visual or perceptual system would then be forced to examine a succession of images and to make the best fits possible from memory to these relatively inchoate internally generated signals. Where fits are inexact, images and ideas may actually be synthesized. Dreaming sleep may thus be viewed as a physiologic Rorschach test, self-administered four to five times a night.

This activation-synthesis model of the dream process has strong implications for both a theoretical approach to the representation of dreams in film and also for the nature of visual perception as it relates to the technology of film making. Stated very simply, my thesis is that during the waking state the brain acts like a camera to incorporate images into memory, at the same time analyzing them on-line for perceptual content. During the dream state, the visual system of the brain acts more like a projector or image generator, and stored images are pulled out of memory and assembled into a synthetic perceptual whole.

The cellular basis of the inhibition of muscle tone during REM sleep remains to be established precisely, but it is clear that this inhibition is an active process. Furthermore, it is probably of brain stem origin, the candidate neurons being the inhibitory neurons of the bulbar reticular formation lying just posterior to the pontine nerve cells that generate the eye movements or REMs. It seems likely that the common sensation while dreaming of being unable to move is as much an accurate reading of the state of the motor apparatus as it is a wish to be caught. The sense of willing a movement and the sense of actually moving may be the result of the activation of brain stem and forebrain systems involved respectively in (a) generating voluntary movement: the signals sent from motor cortex to the spinal cord are simply not acted upon; and (b) sensing voluntary and involuntary movement: the signals that command movement activate the brain stem vestibular neurons, which are normally responsible for encoding the position of the body in space and for any changes in that body position. Thus, in dreams we may either will movement that cannot occur and/or experience a sense of movement of ourselves.
or of our surroundings that is a function of internally generated neuronal activity in motor command and body position centers. This is an example of the activation component of the activation-synthesis hypothesis.

Unfortunately, neurophysiology is not yet in a position to model precisely the synthetic side of the process. Thus, such concepts as wish-fulfillment, symbolization, defense, and conflict are still viable with respect to the way in which the brain assembles and makes sense out of relatively inchoate sensorimotor signals. But rather than retain these elaborate and complicated notions—which were actually introduced to account for the bizarre features of the dream experience—we would be inclined to see the synthetic process as proceeding in a relatively straightforward, constructive manner. During dreaming sleep, the brain—information processing machine par excellence—makes the best of a very bad job by synthesizing the dream out of the inchoate elements sent up to the forebrain from the brain stem.

THE NEUROBIOLOGY OF DREAMING
AND FILM MAKING

The implications of this new data regarding the biological substrate of the dream experience can be extended beyond the necessary revisions in psychoanalytic theory to a formal consideration of certain parallels between dream generation and cinema. The basic formal differences between the dream state and the waking state that emerge from the new biology of dreaming render any artistic treatment of dreaming—which necessarily reaches the viewer in the waking state—extremely problematical. It is to Ingmar Bergman’s credit that, even in an early film like Wild Strawberries, he avoids many of the stereotyped and weak idiomatic labels of film dreams: fuzzy focus, pale shots, soundless vision, flowing gowns, and the like. These film conventions are successful only because, as indications of the filmmaker’s difficulty in representing the dream world, they correlate with the viewer’s difficulty in describing his own. Indeed, it may be that to induce (rather than to imply) the dream state in the film viewer is a hopeless task. It may be illuminating to consider some of the general similarities and differences between dream neurobiology and cinema. They are shown in Table 1.

Like film viewing, dreams are predominantly visual hallucinoid experiences and, like film, they are accepted as real, though dreams are usually more improbable than the most fantastic films. While intense emotion is a feature common to both film viewing and to dreams, dreams are more bizarre; scene shifts and transpositions of time, place, and person occur during dreaming that waking perception would find difficult to accept—even in a theater. In the dream sequences of Wild Strawberries, a distinctly narrative framework is created with Borg himself appearing in all of the sequences and maintaining a sense of personal identity and meaning. Very little attention is paid to representing many striking formal features of the dream experience. The dreams in Wild Strawberries seem more like a psychoanalyst’s interpretation of dreams described by a patient or a patient’s dreams arranged for telling to a psychoanalyst than like dreams themselves. I am not accusing Bergman of dishonesty—this pat, finished, literary quality is quite possibly the work of his particular synthetic dream-work. As he was heavily influenced by psychoanalysis, it would not be surprising to find him dreaming psychoanalytically.

A further crucial distinction between waking and dreaming is that practically all dream experience is forgotten. Even today we really do not have an adequate description of the phenomenology of dreaming, so evanescent and fleeting are our

J. ALLAN HOBSON
<table>
<thead>
<tr>
<th>Function</th>
<th>Dream State</th>
<th>Film State</th>
</tr>
</thead>
<tbody>
<tr>
<td>Orientation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Time</td>
<td>Disoriented, compressed, expanded</td>
<td>Can Simulate</td>
</tr>
<tr>
<td>- Whole cycle/film</td>
<td>90–100 min</td>
<td>90–120 min</td>
</tr>
<tr>
<td>- Scene</td>
<td>5–40 min</td>
<td>Can Simulate</td>
</tr>
<tr>
<td>- Shot</td>
<td>1–5 min</td>
<td>Can Simulate</td>
</tr>
<tr>
<td>- Interframe</td>
<td>150 ms</td>
<td>60 ms Fixed</td>
</tr>
<tr>
<td>- Variability</td>
<td>50–300 ms</td>
<td>Can Simulate</td>
</tr>
<tr>
<td>Place</td>
<td>Constantly changing</td>
<td>Can Simulate</td>
</tr>
<tr>
<td>Person</td>
<td>Identity confusion &amp; fusion—never see self</td>
<td>Often see self Can Simulate</td>
</tr>
<tr>
<td>Sensation</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Vision</td>
<td>Hallucinoid</td>
<td>Can simulate</td>
</tr>
<tr>
<td>Audition</td>
<td>Hallucinoid</td>
<td>Can simulate</td>
</tr>
<tr>
<td>Somesthesis</td>
<td>Hallucinoid</td>
<td>Can't simulate</td>
</tr>
<tr>
<td>Kinesthesia</td>
<td>Hallucinoid</td>
<td>Can simulate</td>
</tr>
<tr>
<td>Smell &amp; taste</td>
<td>Rare</td>
<td>No</td>
</tr>
<tr>
<td>Pain</td>
<td>Rare</td>
<td>No</td>
</tr>
<tr>
<td>Channel discontinuities</td>
<td>Common</td>
<td>Can simulate</td>
</tr>
<tr>
<td>Thought</td>
<td>Delusional</td>
<td>Can simulate</td>
</tr>
<tr>
<td></td>
<td>&quot;Illogical&quot;</td>
<td>Can simulate</td>
</tr>
<tr>
<td></td>
<td>Symbolic</td>
<td>Can simulate</td>
</tr>
<tr>
<td>Emotion</td>
<td>Charged, appropriate</td>
<td>Can simulate</td>
</tr>
<tr>
<td></td>
<td>Charged, inappropriate</td>
<td>Can't simulate</td>
</tr>
<tr>
<td></td>
<td>Flat, appropriate</td>
<td>Can, but doesn't</td>
</tr>
<tr>
<td>Memory</td>
<td>Fleeting</td>
<td>Can't simulate</td>
</tr>
<tr>
<td>Sense Modalities</td>
<td>Vision</td>
<td>Vision</td>
</tr>
<tr>
<td></td>
<td>Audition</td>
<td>Audition</td>
</tr>
<tr>
<td></td>
<td>Body position changes</td>
<td>Can simulate</td>
</tr>
<tr>
<td>Movement and</td>
<td>Self usually not seen</td>
<td>Self may be seen</td>
</tr>
<tr>
<td>Vantage Point</td>
<td>Effort to move strong</td>
<td>Movement passive</td>
</tr>
<tr>
<td>Image Intensity</td>
<td>Hyperreal images</td>
<td>Can simulate</td>
</tr>
</tbody>
</table>

memories of our dreams. Moreover, we are extremely suggestible with respect to what the dream state is like, and the filmmaker has certainly taken advantage of this uncertainty and suggestibility. In fact, our view of the dream may have been shaped and biased, not only by psychoanalysis but by the way psychoanalysis has influenced filmic renditions of the dream state. At this point in history it might be refreshing to break entirely from any stereotyped view of the nature or function of dreams and to take instead an open subjective-empirical approach to our own mental experience. Such empiricism would correspond with the new and surprising objective-empirical discoveries that are being made in the scientific study of sleep and dreams. The experimental filmmaker should be particularly interested in this vantage point since the door is now open to a completely new approach.

Summing up, we have seen that dreaming occurs at regular 90-minute intervals in sleep and that dreams last up to 40 minutes. Dreams are not instantaneous but occur in real time, though that time may be accelerated or retarded, expanded or telescoped. The brain is activated throughout dreaming.
sleep and each dreaming sleep episode is punctuated by bursts of eye movements, the REMs; in contrast, muscle tone is paralyzed so that other movements cannot occur, and sensory stimuli are excluded so that awakening is prevented. Among the many new neurobiological facts that are particularly germane to film theory and to filmic treatment of dreams, the most obvious is that the visual system in dreaming sleep is autoactivated. This means that dream imagery is entirely endogenous. Not only is the information flow different owing to the change in location of its input source; it is different also owing to the change in input mode. Thus the eye movements of dreaming sleep appear to be an internal source of whatever spatiotemporal specificity is in the dream imagery.

When films of the rapid eye movements of cats are examined, it can be seen that the REMs of dreaming sleep occur in unusually rapid sequence with unpredictable and unusual changes in direction (Figure 3). In addition, there are many contortional and oblique movements that are never seen during the waking state. Recordings of the brain cells that appear to be driving these eye movements reveal not only a much higher rate of activity during dreaming sleep than during waking, but extremely unusual sequences of firing. General implications for the filmmaker are that the spatiotemporal aspect of the dream experience are not those that could be inferred from recollection in the waking state. But it remains to be seen whether filmic applications of these facts would be capable of simulating the dream experience in the viewer, who must still witness the film in the waking state. The irony is that the viewer might reject the most valid dream simulation as unbearable and/or implausible.

**CREATIVITY AND THE DREAM STATE**

By 1966, the year in which Bergman completed *Persona*, a variety of important events had changed both our concept of the dream and artistic approaches to both sleep and dreaming. I think it is no coincidence that the pop art movement developed at the same time that these scientific findings were accruing. Pop Art contains a number of formal elements deriving from Surrealism, but also incorporates some of the approaches and concepts of science. In the so-called “happenings” of the Pop Art era, theatricality depended upon the modern and dramatic equivalent of automatic writing. Aleatory or chance elements in composition paralleling the aleatory or chance elements in the composition of the dream were favored during the happenings. Artists such as Jim Dine actually psychoanalyzed themselves in public, while lying on a couch in a darkened room. Dine’s free associations contained both unpredictable and meaningful personal elements. The story line was broken and the continuity of meaning was assured only by the association of ideas. John Cage and David Tudor pushed the search for aleatory creation to its extreme limits in their concerts “for prepared piano.” Instead of referring this approach to the semi-mystical framework borrowed from Eastern religion, Cage could as easily be seen as simply favoring the emergence of relatively spontaneous, internally generated, nonconceptual output from his own nervous system. Thus both Cage and Dine could be said to be attempting to achieve some of the elements of the dream state during waking. At the same time, Warhol was photographing a night of sleep in real time. This unconscious symmetry with the empirical behavioral approach of sleep research is not likely to be completely coincidental. Armed with new technologies and new insights, the artist and the scientist, each in his own way, were taking a new look at the differences between waking and sleep.

We may thus mark the decade beginning in 1958 as the opening of an entirely new art-science era. Recognition of the play of chance in the generation of

J. ALLAN HOBBSON
the dream process does not rob the dream of meaning, as is so often feared by opponents of the new theory. Rather it can be seen as a liberating phenomenon with implications for the biological basis of creativity. Only through the play of chance can new arrangements of biological information be achieved, and these have long been recognized to be the essence of creativity. Mutation—the chance variation of genetic information—is well established as the creative factor in evolution. I propose that mutations also occur in the realm of information processing, especially in dreams. This important feature of the new theory of dreams liberates us from the narrow constraints of the narrative approach, which is based on the confining principle of psychic determinism. All is not determined in dreams and thought; rather, there is a large play of chance which allows the generation of entirely new images, new sequences of images, and new compositions of new sequences. The attempts to synthesize and to create wholeness and meaning from random elements must, of course, be shaped by previous experience. But we should regard the play of chance within our brains that occurs in dreaming sleep as opening new doors to the study of perception as a creative process as well as revealing more particular meaning about our individual
experience. It is in this spirit that I will approach a discussion of the opening
sequence of *Persona*, which offers a radically new treatment of dream imagery.

**BERGMAN’S VERTIGO AND THE FORM OF THE PERSONA MONTAGE**

Marsha Kinder told me that *Persona* was conceived when Bergman was lying in a
hospital suffering from vertigo. Vertigo is an unpleasant sensation of movement of
the self and/or the world. I propose that in utilizing his vertigo to inform his montage
sequence, Bergman may have been taking advantage of a pathological state in his
own nervous system that mimics the physiology of dreaming sleep. I will further
propose that his vertigo simulated one aspect of the psychophysiology of dreaming
sleep. Vertigo is experienced when infection or other abnormality of the labyrinth or
balance organ in the inner ear triggers the same messages to the central nervous
system that normally tell the brain that the head is moving. But, as in dreaming
sleep, the vertigo patient’s head is not moving, and he therefore experiences space
as moving around him. As an integral part of the reaction to these abnormal signals,
eye movements are generated, since every real or simulated head movement
requires a compensatory eye movement to stabilize space. With the generation of
such eye movements, a sequence of unusual visual images occurs. I speculate that
to escape from the nauseous consequences of vertigo, Bergman closed his eyes and
then viewed the sort of sequence that we see in the opening scenes of *Persona*.
Closing the eyes has three related consequences: the incompatibility of internal
and external visual information about body position is eliminated, nausea is
relieved, and the internal information sources dominate perception.

In dreaming sleep it is not the balance organ that is affected. Rather, the brain
stem neurons, which normally receive impulses from the balance organ, are
activated by the same giant cells that trigger the eye movements; the net effect for
the subject is the same as if his balance organ were being stimulated. The dreamer
perceives either himself moving through space or space moving around him. The
sequence of images is linked to the sequence of eye movements that are triggered
by the activation of the giant cells and the central neurons of the balance system,
which provides for the dreamer a strong kinesthetic sensation. Bergman may thus
have made an important accidental discovery: vertigo as a model for motion
perception in dreaming sleep.

Elsewhere, Marsha Kinder gives an analysis of the *Persona* sequence in
terms of the development of the whole non-REM/REM sleep cycle. While her
linking of *Persona* with current dream theory in contrast to Bergman’s earlier
psychoanalytic dream films is a valuable contribution, her analysis of the opening
montage is more problematic. I find this analysis imaginative but factually
unacceptable if taken at a literal level. The facts of the matter are that the imagery
associated with non-REM (NREM) sleep is distinctly non-sensory, with the possible
exception of that occurring in sleep onset Stage I; NREM mentation is, rather,
conceptual, cognitive, and ideational. Thus if one were to analogize the opening
sequence of *Persona* to any phase of sleep, it would have to be sleep onset Stage I or
emergent Stage I with REMs. I will develop this analogy because of the historical fact
that Bergman generated this sequence while suffering from vertigo.

**A PSYCHOPHYSIOLOGIC ANALYSIS OF THE CONTENT OF THE PERSONA MONTAGE**

The analysis can be pursued at two levels, the cinematic and the psychophysiologic.
The film opens with two vague light spots on the screen, which gradually come
closer and closer into focus and finally are revealed to be the two points of the carbon arc lamp that illuminate the film projector. Bergman seems to be saying that light is the source of the trigger or the driving energy of both the film projector and the visual experience. For the psychophysicist, the parallel is with the internal generation of light during the dream when the outside world is dark. The light must be generated within the nervous system itself; the brain is thus the projector and screen of our dream imagery. Somehow neural energy is translated by the perceptual system into light.

In the next “scene” Bergman turns to specific references from his own personal history and psychology in relation to film. The inverted cartoon image reminds us of his childhood cinematograph and, at once, of technical naivete and arbitrary image distortions. The following sequence of dreamer, robber, and policeman integrates the animation technique into a literal sleep-dream story. For the psychophysicist, this development from relatively crude (concrete) to relatively elaborate (symbolic) imagery parallels the difference between the perceptual and the ideational levels of experience. The domination of dream imagery by fear is notable in this sequence. At times, dream images are as neutral and flat as in the upside-down cartoon image, and at other times are as pervaded by strong emotion as the entire animated sequence. Another formal feature of dreams, perceived in the comic sequence, is the use of accelerated motion. In dreams, the imagined action does speed and slow as if the generator were changing its rate: this psychological feature parallels the unpredictable speed and direction of eye movements.

The following sequence, a series of primordial images interspersed with jump cuts, produces a sense of scene shifting that is strikingly dreamlike. Not all dreams are integrated by a narrative story line. Instead of a story, just this kind of radical and unpredictable shift of scene may occur in dreams. The series of scenes in a dream may be integrated by a particular emotion such as fear or dread, or by a thematic image, such as penetration. Thus Bergman cuts from a spider/ to a sheep/ to a spike driven through a hand/ to trees in the snow/ to a spiked fence surmounting piles of snow. The associative chain is clear and only the fragmentation needs explanation. I submit that fragmentation is a feature of the generator process in the brain and that the scene cuts and shifts are its inevitable result.

The alternative suggestion that the cuts represent defensive transformations designed to protect consciousness from invasion by unacceptable impulses during sleep derives from Freud and is no longer necessary nor even tenable. I therefore read the so-called “dream within a dream” as simply a sequence of dream images that cannot possibly be expected to be continuous, given the nature of the generator process. That the disguise-censorship hypothesis is incorrect in this case can be inferred from the fact that the hypothesized transformations do not disguise or neutralize the emotional impact at all. Rather the emotional impact continues across the scene changes and is even intensified by their incisive renewal of attention.

We feel fear and dread throughout the spider is a typically phobic object, and the gutting of the sheep, while a completely different image, continues our sense of foreboding and dread.Penetration is humanized and literalized by driving the spike through the hand. The trees in the snow might be viewed as a neutralizing image, but when we see the spiked fence we realize that this is not the case. We are again faced with an ominously piercing object and our own guts contract.

As with this Persona sequence, our dreams are often not so much a story as a sequence of visual images linked by strong emotion. Note also how logical and acceptable is this sequence; so too are the most improbable linkages of scenes in our dream. Following the evisceration shot, the sheep’s eye is seen in closeup. This shot creates a historical link with the eyeball in Wild Strawberries and hints at our penetration of the brain.
In the fifth sequence, we see figures covered with sheets, suggesting a morgue and the projecting tension between sleep and death. The ancient but persistent view that sleep is "a little death" is graphically depicted in these scenes. The outward stillness of the bodies is contrasted with the internal dynamism of the perceptions of the dream experience. The sleeping boy roases; his state change—from internally generated imagery to the reception of external information—is shown by his putting on his glasses and beginning to read his book. The dynamic interplay of inner and outer, between warmth and coldness, between penetration and exclusion, between life and death, are all represented in these sequences.

Bergman announces the end of the prologue and the beginning of the film proper by mixing the film maker numbers with his title and a series of tachistoscopic images. What is new and different about the approach taken in Persona (as contrasted with Wild Strawberries) is the utilization of the technical properties inherent in the film and the technical capacities of the editing process to simulate the image-generating and image-interpreting capacities of the brain. I believe that, whether Bergman intended it or not, the Persona sequences better represent the formal aspects of dreaming than the explicit dreams of Wild Strawberries. That this approach was inspired by Bergman's vertigo establishes a point: experience may be a more accurate guide to discovery than theory.

EYE MOVEMENT AND VISION:
THE PSYCHOPHYSIOLOGY OF PERCEPTION

To pursue the promise of the Persona approach, let us now turn to a more detailed discussion of the psychophysiology of visual perception (Jung, 1973). During waking, the eyes are continually moving with small, practically invisible "saccades" or jumps occurring at a rate of between 5 and 20 per second, with an average duration of 50–200 milliseconds each. In the absence of motion, vision is actually impossible because the visual neurons are sensitive only to changes in light intensity as the image is focused on the retina. Thus the immobilized eye cannot see. Despite this constant and imperceptible movement of the eye, the visual world is held constant; it does not move.

Constancy of image must be a function of the capacity of the visual system to take a running account of the saccadic movements, since even a small movement will cause a significant displacement of the retinal point corresponding to a point in the visual field. Figure 4 shows a systems analysis of this phenomenon. The saccadic eye movements are controlled by the brain stem and a copy of each command is fed forward into the visual system so that the effects of the movement on the visual image are quantitatively predicted. When the eye comes to rest at its new position (the image having been actively suppressed during movement), the efferent copy of the command is compared with the newly perceived image. If the subtraction of the internally generated signal from the externally generated signal yields zero, no movement is perceived. Whether or not one understands the details of this argument, the crucial role of central motor processes in waking perception should be clear.

When a point source of light is caused to move in concert with an experimental subject's eyes, the subject does not perceive the movement. This phenomenon of "visual blanking" during the rapidly recurrent saccadic eye movements during the waking state is related to the phenomenon of flicker fusion, in which a repetitive light stimulus is seen as continuous if the frequency of flashing exceeds 12–14 per second (that is, if it has a mean interval duration of about 80 milliseconds). This phenomenon is in turn, of course, related to the capacity of the human viewer to see the succession of film images (which appear on the screen at a

J. ALLAN HOBSON
STATE-DEPENDENT CHANGES IN PERCEPTION

\[ \text{GENERATOR} \xrightarrow{\text{EFFERENT SIGNAL, } E} \text{PERCEPTOR} \xrightarrow{\text{E-R}} \text{COMPARATOR} \xrightarrow{\text{REAFFERENT SIGNAL, } R} \]

IN WAKING \( E = R \)
- \( E - R = 0 \)
- DO NOT CHANGE MAP
- DO NOT PERCEIVE MOVEMENT

IN DREAMING \( R = 0 \)
- \( E - R = E \)
- CHANGE MAP
- PERCEIVE MOVEMENT

Figure 4: State-Dependent Changes in Perception. To account for the constancy of the visual world in the face of the continuous movement of the eye in waking, it has been postulated that the movement generator sends a copy of the efferent signal, \( E \), to a comparator. The comparator computes the difference between the efferent signal and the reafferent signal, \( E - R \), which is a function of the displacement of the image on the retina consequent upon the movement. The difference is sent on to the perceptor, which changes the map that it actively fits to visual space only if the difference is non-zero.

In most cases the waking state difference is zero, so the map is not changed and movement of the eye does not result in apparent movement of space. During dreaming sleep the eyes are closed, the pupil narrowed, and ambient light levels are low so that little or no formed image falls upon the retina; and the reafferent signal is always zero, hence the difference, \( E - R \), is always non-zero. In fact, it is equal to \( E \) and the visual system must cope with a continuous series of error corrections. This may contribute to the often bizarre sequences of visual scenes, to the melting, blending, and schismatic shifts of scene components.

at a rate of 16 frames per second or an interval of 60 milliseconds per frame) as a continuous stable image, although the screen is in fact dark half the time and the eyes are constantly moving. It may not be a coincidence that the rhythm of the waking electroencephalogram, the so-called alpha rhythm, occurs at a frequency of 8 to 12 cycles per second (with a mean duration of about 80–120 milliseconds). The main point again is that eye movement is a continuous and essential part of the visual perceptual process even during waking, and that information about eye movement is utilized to achieve constancy of waking image perception.

The eye movements that are generated during dreaming sleep are probably generated by the same saccadic generator that operates during waking, but the individual movements are of greater amplitude and occur in a more variable and unpredictable sequence. During dreaming sleep in a completely darkened room, no light falls on the retina, and even in faint light no formed imagery can penetrate the closed eyelid and the constricted pupil. Thus, in dreaming sleep, the loop between the outside visual world and the visual system is eliminated, and the visual system must process a sequence of signals and predict the changes in the visual scene that would result from the internally generated eye movements. But since
there is no image signal coming from the outside world, only the efferent copy of the movement command is available as visual “stimulus” information.

The jump changes in imagery during the dream may be a function of the visual system’s effort to create a new image to account for the internally generated data. The frequency of saccades during dreaming sleep is from about 5 to 20 per second with a strong mode at about 8 per second; that is to say, the REMs have an average duration of about 150 milliseconds, or two film frames. Another way for the brain to cope with the fact that the efferent copy is unmatched by a change in externally derived imagery, is to create a sense of subjective body movement. Thus, dream scene cuts or changes in body position in the dream are both the direct and inevitable outcome of the nature of the dream image generator. Since that generator involves the neurons central to the balance organ, we assert that the analogy between the sequence of images generated in vertigo and during dreaming sleep is worthy of serious attention.

THE BRAIN AS A CAMERA-PROJECTOR

Carrying these considerations to a more speculative level, we may now regard the brain as a camera-projector (See Table 2 for an extension of this idea). During

<table>
<thead>
<tr>
<th>Table 2: Comparison of Film Devices and Dream Processes</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>Film Device</strong></td>
</tr>
<tr>
<td>Accelerated motion</td>
</tr>
<tr>
<td>Aspect ratio</td>
</tr>
<tr>
<td>Cross-cutting</td>
</tr>
<tr>
<td>Cutting on action</td>
</tr>
<tr>
<td>Dynamic cutting</td>
</tr>
<tr>
<td>Focus changes</td>
</tr>
<tr>
<td>Flash back/flash forward</td>
</tr>
<tr>
<td>Freeze frame</td>
</tr>
<tr>
<td>Hidden cut</td>
</tr>
<tr>
<td>Jump cut</td>
</tr>
<tr>
<td>Lighting changes</td>
</tr>
<tr>
<td>Montage</td>
</tr>
<tr>
<td>Superimposition</td>
</tr>
<tr>
<td>Jump cuts</td>
</tr>
<tr>
<td>Dissolves</td>
</tr>
<tr>
<td>Optical effects</td>
</tr>
<tr>
<td>Real time vs screen time</td>
</tr>
<tr>
<td>Separation</td>
</tr>
<tr>
<td>Cut</td>
</tr>
<tr>
<td>Stop motion</td>
</tr>
<tr>
<td>Synch</td>
</tr>
<tr>
<td>Transitions</td>
</tr>
<tr>
<td>Dissolve</td>
</tr>
<tr>
<td>Fade</td>
</tr>
<tr>
<td>Wipe</td>
</tr>
</tbody>
</table>

J. ALLAN HOBSON
waking, the brain is "taking pictures": images are accepted at a rate of about 10–20 per second. Owing to the operation of the afferent image–efferent signal comparator process and visual blanking, we perceive the visual world as continuous and the visual field remains constant in space. Our brains shoot, develop, and edit instantaneously. The individual images or the fused image (we know not which) are stored in memory (by unknown mechanisms). They can be called up with difficulty and are weakly perceptible in waking fantasy, but are more easily accessible and vividly perceptible in dreams.

During dreams, the visual system is activated but images from the outside world are not available. Rather, the images must be called up from memory stores in an effort to fit the internally generated data about eye movement. It is impossible for the brain to successfully render the series of shots as a continuous narrative, although good attempts are made. We know very little about how this process actually occurs within the nervous system, but it seems to involve an actual change in information flow: the eye movement generator that normally sets the frame duration for takes during waking is autoactivated during dreaming sleep. This system may be likened to frame changes and probably not only has the function of subdividing the images in time, but may also convey precise spatial information about them. For example, an eye movement to the left at a certain speed calls for a change in the image’s properties in a futile effort to maintain visual constancy.

It seems to me that Bergman has inadvertently discovered this process by observing a pathological state in himself—his vertigo. One can only wonder whether the Zeitgeist of the new neurobiology had somehow penetrated his consciousness and made him ready to receive, analyze, and represent this interesting property in the opening sequences of Persona. Whatever the historical truth of the matter, the experimental approach taken by Bergman is clearly complimentary to the new experimental work on the formal aspects of sleep and dreams, and balances the psychoanalytic focus on content and meaning. It is remarkable that dreams were studied directly for the first time in human history within our lifetime. The challenges to dream theory that have resulted are clearly only the beginning of a new era of understanding.

REFERENCE NOTES

1. This analysis (Kinder, 1980) was originally presented as a paper at the conference Bergman and Dreams, Harvard University, January 27–29, 1978. In discussion with Kinder, I have suggested that the sleep cycle framework be used for her analysis, only at a metaphorical level. Kinder assumes that scientific theories frequently function metaphorically when transferred to the context of criticism and art. She maintains that through the history of criticism, the prevailing critical metaphors have shifted in response to the development of new theories in various scientific fields. While I agree that the language with which we describe phenomena is inevitably metaphorical, I strongly deny that all scientific information can be reduced to metaphor. Such an approach is symmetrical to the equally erroneous tendency of some scientists to reduce dream content to physiology.
REFERENCES


Dement, W. The occurrence of low voltage, fast, electroencephalogram patterns during behavioral sleep in the cat. EEG Clinical Neurophysiology, 1958, 10, 291-296.


Morselli, G., & Magoun, H. W. Brain stem reticular formation and activation of the EEG. EEG Clinical Neurophysiology, 1949, 1, 455-473.

DREAM REPORT

By Chick Strand

August 8th, 1977—I'm sitting in a reclining chair, lying back. I woke up about seven o'clock, came downstairs, started to read, fell asleep again in my chair, and I had several dreams or parts of a dream. Then the telephone rang and I woke up. After a short conversation, I recorded the dream on a cassette tape. I felt close to the dream and was very excited. The following is a transcript of the tape.

In this dream I'm in a front room furnished like my front room here, except the room is painted off-white and it's big and tall. To my right facing me is a large door that is made of glass and has wrought iron work which has been painted off-white. Through the iron work of this closed door, I can see a hall which is lit from a second story sky light and some stairs. It's sort of Spanish style and I remember that I liked it very much. On the other side of the door is a built-in book case complex and a fireplace which isn't too fancy, all painted off-white. On the mantle of the fireplace I have placed some vases that I have, one an emerald green and another large one I bought in Mexico which is brown and white and black striped. I've placed in one some anise, or maybe fennel, what we used to call Lady's Tobacco when we were kids. It grows wild in Northern California. In the other some spinach, or swiss chard, or maybe rhubarb because it's green but with a red tinge. I can feel a red tinge. I remember remembering in my dream that in the past I had put those vases there with that stuff in it, and thought that it looked pretty good. Some people came and talked, I don't know who they were. I remember feeling a little apologetic toward the house because the furniture was ratty, the stuffing coming out of the arms of the chairs, much like I do now. I guess I get that from my mother, always feeling apologetic for things I know don't fit into the ideas of tidiness that most Americans learn and expect. I remember letting these people know that we had just moved in and hadn't had time to do much to the house. While they were leaving, I came to a part of the room I had forgotten. The front door they left through was to the left. In that part of the room was some very heavy plain wooden furniture. I thought in the dream that it belonged to my grandmother, although I knew that it didn't. There was a big wooden chest that people would use in dining rooms to display dishes and store linen, and a Persian rug. I remember feeling secure in the knowledge that "oh yes, I was getting things together and it was going to be a really nice place."
Then I went to the kitchen, but immediately the whole thing changed. The living room completely dropped out of sight and the kitchen was an apartment on the second story, probably built in the forties. It's like the ROTC buildings actually. I have been in a lot of houses during the war that had this same kind of construction, and this was a tiny kitchen in an apartment complex out in the country. I remember sensing oak trees and some brown, tall grass like we have here all over the hills. It was Hollywood, but it was on the outskirts, as if Hollywood were on the far end of town. There were other parts of the dream in this place. There was something to do with a carport and some talk, but I don't remember that at all. I went out of the kitchen to the back stairs, which led to a tiny yard that was faced by some underground garages. It was dark and not a playground—just little bits of patches of ground for each apartment. A kid was out there playing around and having a confrontation with its mother. Immediately the kid disappeared when the mother saw me, and we started talking. The mother was dressed very strangely. She had on heavy rouge and lipstick that was smeared way up over her lip—one good smear off to her cheek. She had very dark hair with very fine texture, very much like my mother's, and a pompadour, like they wore in the forties; her hair was tied back at the nape of her neck. She had on a rather gaudy costume, almost like a gypsy, but she didn't strike me as being a gypsy. Immediately after we started talking, all the other women in the building came out and started talking as if they were excited about my being there and had been waiting for me to appear so they could check me out. They too were all dressed very strange, sort of out of the past. I didn't think they were old fashioned in the dream, but thought, "Oh! this is Hollywood, these are Hollywood women."

Then I was on the bank of a river nearby—I could still feel the presence of that other place with clarity. For some reason we had to get across the river, so we rented a canoe, but had to paddle lying down. Pretty soon it was just me paddling, and I was paddling it like a row boat. It was easy to do. I could feel the oars going into the river, and the texture of the water. We were going so fast that I could hear it going "Whooo" through the wind and the water, and hear the water lapping at the boat. It was very calming, my muscles didn't feel tired at all from paddling, except for some reason I wasn't supposed to get up and look. Finally I did raise myself up. I was drifting in and out of a dream and felt like I always do when I'm lying back in this reclining chair, which I was actually lying in. I pushed myself up and was on a lake that was turquoise blue and very, very clear. A lot of people were swimming. They all had bathing caps on. I had almost got to the part where they rope it off for little kids so they don't get into too deep water. Someone said, "You're getting to the kids' part. You've got to park that canoe on the other side of the rock, on the other side of the island." I started backing off the ropes and immediately the boat started swamping. I had gotten into deep water and I thought, "Oh! I'm going to drown," and then I thought, "Oh no I'm not, I know how to swim, and I know what to do in a case like this," so I did it, and I didn't drown. But the boat just went out from under me and I reached down in order to save the boat. I pulled it out—it was a very little denim canoe. In the front and in the back it had two holes each, for legs to go through so that you and your partner in the canoe were back to back with your legs out these holes. I seemed to sense that you paddled it with paddles. I swam with the denim canoe, then I looked up and saw what they meant when they said "the island." The island was a big rock about half the size of Johnson Hall, only two stories up instead of three. Kids were diving from the rock and having a good time. I realized had the canoe survived, I would have had to go to the other side of the island to put it there.
Film Adaptations of Dream Images in *Mujer de Milfuegos* (Woman of a Thousand Fires)

I am dreaming that I am in a garden and several long, slender black snakes are kissing my hands. I am dreaming again that I can fly and float in the air with perfect control. I am soaring close to the earth very fast. (Painting by Neon Park)
I am dreaming that I am in an underground tunnel. It opens into a huge empty theater. In place of seats, there are permanent wave machines from the 1930's, the kind that are heated by electricity with lots of wires and curlers dangling down. Everything is very dusty.

I am dreaming that I am carrying big stones around in a circle. These stones are burdens I have made for myself.

CHICK STRAND
Then the dream changed again. I lifted myself out of the water and was on a sidewalk curb where many people were swimming while others watched, lying down, walking, or standing. It was a very small town which on weekends would clear the main street and fill it with water, making a pool for their townspeople's recreation. It was still the same clear water and quite deep, twelve feet or so from the curb down. I could see down there the oil from cars on the parking spots. I remember thinking how hard they had to work on Fridays to get this street really clean to have a pool for their people on Saturdays and Sundays. I thought how marvelous it was.

Then the dream changed again, but was connected to these weekend festivities in that I felt a real sense of community, quite strangely. I was in a large hall, going to a rock concert. I was walking down an aisle that had linoleum just like my kitchen: real bright green with white flecks. It was strange walking on it, it felt very metallic. I got to my seat and my feet were cold, and I guess they were, lying back in my chair. I remember leaning down and putting on a big brown wool sock with white stripes. The people to my right watched me do this without commenting, but it seemed weird to them. While putting on my sock, I looked closely at the floor and saw lots of little things coming out of it that looked just like the caps on a tape recorder. Not the recording heads, but the things that spin around and that you thread the tape around to make it slide easily. The person sitting next to me said, “Oh that’s the light show and those will light up during the performance.” As soon as the show began, the people across the aisle were replaced by the stage, which was flush with the aisle so that the performers could walk directly from the stage to the aisle. When the first band came out, I remember thinking that I had to applaud and encourage them because the first act is always the dumb band; people even boo them because they are anxious for the band they paid for to come out. The first person pranced out of a void onto the stage, then onto the aisle. He was a tall and lanky guitarist with straw colored hair and very pale eyes that were in a trance. He

I am dreaming of old empty houses.
had a long guitar and a pastel colored velvet suit that wasn't bizarre or glittery. It was sort of subdued and had a long coat. He came out strutting and prancing, got to the aisle, and then fell down. I remember thinking, "Oh that poor guy! Here he is trying to be successful and do a thing and he fell, right away." As he fell to the floor in a stiff position, I could see he was still in a trance and his eyes were pale blue and golden. I wanted him to get up very badly and thought I saw him begin to raise himself up on his elbow, but he just froze in that position. Then my eyes were drawn to the right; prancing out in very much the same way was a guy who was very swarthy, with a dark mustache and short, dark hair. He was about four feet tall, and had on nothing but a silver lamé cape and a turban. I could see his pubic area and there was no hair there, sort of like a girl. There was nothing there, sort of like a doll. But he was a human being, not deformed in any way, maybe his legs were a little short. He just came prancing out with other people, but my eyes were on him. He mimed the words and pantomimed gestures to a song that was on a tape. It was exaggerated because the song was an instrumental, but he was mouthing words and flapping his arms around. Then immediately to the left of him in front of me, was a girl that came out about the same size. She looked very much like Liv Ullman, again with pale blue eyes and straw colored hair. I've never seen Immigrants, but she was dressed in a long black dress that was pinched in at the waist, only not to make her waist small. It had long sleeves down to her wrists and a high neck with a tiny white collar. She was doing exactly the same thing. Then immediately my eyes were drawn to the left of her and there was someone else, but I didn't even catch that because immediately my eyes were drawn downward about eighteen inches above the floor. There were some little creatures there that were very human, who were getting ready to turn around and prance onto the aisle. They were practicing, jumping up and down and shaking their legs. My first thought was, "These are human beings only eighteen inches tall," and then I thought, "Oh no, that isn't possible. There isn't such a thing," and then I looked closer and they had human faces all right but under the costume they had animal legs and looked like rabbits. I thought, "No, those aren't rabbits because they don't have ears. Where did they hide the ears?" I couldn't tell whether the human faces were really wonderfully made masks or not. It was the legs that gave it away. My conclusion was that they were cats. Cats to me have very similar legs to rabbits, and they were sort of jumping up and down back there out of the light. Then the phone rang, and it was Bill Moritz who woke me up.
Dream Report

By Pat O’Neill

Los Angeles, December 26, 1977—
This is a dream I had about four years ago. I can still recall its visual qualities vividly, but have forgotten some of the details of the continuity.

I am in a part of the house we live in, but an unfamiliar part I have never before visited, an extra floor above the present roof. There are several large rooms with very low ceilings and large windows encrusted with dirt and broken in places, allowing a brisk wind to enter. These windows look out into an extremely blue sky. The floor is littered with windblown papers and clothes. The walls are made of rough planks that have been painted many times with a dazzling white paint. Coats of paint are peeling off, revealing more white paint. The wind is strong and the sun bright, and the feeling is somewhat like being on a boat. I have the feeling that I know these rooms from some other time, and I have the feeling that someone is watching me from somewhere behind the walls.

I can see at a great distance the buildings of a kind of resort, a desert spa built out of volcanic rock and adorned with many cement statues.
and fountains. The place seems to be deserted, though tidy and definitely having something to do with Europe. In the driveway stands my father's automobile, a black Oldsmobile coupe, vintage 1931, with oversize balloon tires, the first car I ever rode in. I remove the hubcap from one of the rear wheels; looking inside the wheel, I discover a cache of old photographs. They are packed in oily rags which crumble as I unfold them. One of the pictures is in color—it is a calendar pinup, dated June 1946, depicting a very plain blondish girl in a one-piece bathing suit. She is crouching on a bit of sand, and has rather skinny legs and almost no breasts at all. The other pictures are all snapshots of strangers apparently on vacation at a mountain resort. The photographs are dim and brown. Looking up, I realize that the whole landscape around me has grown as dim as the photographs! The light is that which precedes an afternoon thundershower in the Midwest, except that this is even blacker, and there are no shadows, everything the same value. The air is still and there is the sour smell of old oily rags.


PAT O'NEILL
I'm on an intergalactic journey with a young man and we're lost. We build a satellite and are joined by a group of workers. Somehow my companion is trapped and held in a huge, white rectangular box containing an angry tiger. Finally, they let him out but he keeps having wild fits. I try calming him in a loving way, but his eyes continue to open wider and wider. He quiets down and then goes crazy again. I realize his behavior is the result of being isolated with a frightening creature.

I work with the group building parts to aid in our escape. Three or four of us ascend a vast staircase which we create as we move up it, tossing silver-blue, cast aluminum parts in the air and climbing on them as they land. We're going to a lecture about the meaning of this journey. We enter a darkened amphitheater, and on the ground floor lecturing, is a half-lit figure speaking through a P.A. system, with the voice of ancient wisdom. But he doesn't reassure me and we have a closer look. He's a slightly transparent man in a lab coat, whose glow comes from theatrical lighting. I shake my head thinking, "Oh, it's him, that guy from the film. I don't believe him."

Then either driving or wearing a small car, I find myself on a complicated freeway interchange traveling out of a megalopolis toward open country. I'm going to see Margaret Mead in the Pacific Northwest. I'm in front of the place I thought she lived in, or was building. A large scaffolding blocks the building's view. Some guy points out where she's moved. I leave the books I'm studying at this site and walk to the new one. It's situated on a waterfront area and feels like Oregon. I carefully examine her house, which is freshly painted a subtle, dark blue with wooden carvings left to weather. While looking up, I embarrassedly pass Margaret Mead, who scolds me for snooping. I reply that I value privacy and don't intend to bother her. She looks frail. I return for my books and find that guy took them.

Wandering around in a large, grey office with bad lighting, I look at photos of Margaret Mead and her friends. It makes up the history of anthropology. On several desks there's a collection of drawings, and books of prints/still-photos made by women artists I know. That seems to make sense. I study a photo of her receiving an award from a famous, young woman anthropologist. The image touches me. Margaret Mead returns and while standing some distance behind me says, "Well, as long as you're here you might as well see me." I understand by this she means, I can hang around, do my own work, and not bother her. I enter the room next to hers which is a forgotten space crammed with abandoned things. As I start reading, I look in the corner at a small, living apricot tree. I yell out the door, "things grow in the strangest places!" Some other anthropologists arrive and I tell Margaret Mead I'm involved with art. She responds, "If you work with art, you must care about the future. So we might as well talk."
DREAM AND PHOTOGRAPHY IN A PSYCHOANALYTIC FILM: SECRETS OF A SOUL

By Nick Browne and Bruce McPherson

It is through psychoanalysis that the dream has become a special object of attention and a problem for the disciplines of interpretation. The appearance of Freud's Interpretation of Dreams in Vienna in 1900, within a few years of the first exhibitions of film in Paris in 1896, established a pattern of affinity and convergence between dream and film that has inspired and informed critical and theoretical writing on the cinema almost from the beginning. It was earlier, in July, 1895, with the successful interpretation of the "Specimen Dream," the Dream of Irma's Injection, that Freud could claim that "the Secret of Dreams was revealed" to him. The history of the analogy between the experiential modes of dream and cinema—not just the observations of a line of distinguished German, French, and American critics, whose work constitutes something of an "approach"—has served as a formal and practical model for filmmakers. Wiene's The Cabinet of Dr. Caligari, Cocteau's Orpheus, and Resnais' Last Year at Marienbad are notable films whose form was more or less explicitly provided by the features of the dream experience.

Most recently, in the field of film theory, the analogy between dream and film has been reformulated as the relation between the image and the spectator. The recent work of Christian Metz (1975, 1976) and Jean Louis Baudry (1976) has concentrated not on the interpretation of individual works but more generally on the description of the "place" of the filmic spectator from within a psychoanalytic, specifically Lacanian, idiom. Each has investigated the mode of imaginary relations that the spectator enjoys with the depicted world. This relation is founded on a central analogy: that between the arrangement of the apparatus (projector, light, screen, spectator) and certain psychoanalytic models of the topology and dynamics of the psyche itself. The functioning of that cinema apparatus implies or inscribes a spectator in such a way as to guarantee a specific "impression of reality," a form of realism that both inherits the Western tradition of painting and inflects it in accord with the contemporary (ideological) requirements of the society in which it is embedded.
Commentary on Pabst's film *Secrets of a Soul* (Germany, 1925) poses problems of a different order: it was the first deliberate conjunction of psychoanalysis and film. The film was made with the cooperation of people close to Freud, Sachs and Abraham, as a demonstration of clinical methods (including dream interpretation) and of the therapeutic powers of psychoanalysis. This context and purpose are important in understanding certain things about the film's presentation. Freud was skeptical about the project; his principal objection was, as he wrote to Abraham: "I still do not believe that satisfactory plastic representation of our abstractions is at all possible" (Abraham & Freud, 1965, p. 384).1

Although Hanns Sachs collaborated closely with the director, G. W. Pabst, and apparently had an unlimited say in the psychoanalytic aspects of the film, the interpretation the film offers is constrained, if not disingenuous. Chodorkoff and Baxter (1974) indicate that the social milieu may have constrained the film and that Pabst was confronted with the problem of "how to avoid sensational aspects of psychoanalysis which the masses are drawn to..."; presumably the sexual etiology of neurosis was considered sensational, and Freud's own circumlocution about such matters was regarded as exemplary. If such was its intention, the film at least succeeded in limiting sexually explicit scenes or explanations; however, this avoidance is at the expense of the psychoanalytic interpretation offered in the film. Notwithstanding, the film, if not the accompanying psychoanalytic explanation, gives a vivid and convincing representation of Martin's symbolic mental life.

The film emphasizes psychoanalytic technique as a means of recovering significant traces of the past. The narrative form of the film and the treatment of the process of memory determine the film's dramatic structure. At the crucial moment—and through an act of re-memorization—the film condenses in a single event the origin of the neurosis and an act of seeing, and brings to the fore as a general problem of psychoanalysis the relation between memory, seeing, and the process of therapeutic understanding.

In *The Interpretation of Dreams* (1895) the elaboration of the theoretical argument through the use of scientific models and various optical apparatuses is well known. In considering the problem of representing psychical locality, the relation between the preconscious and the unconscious systems, Freud suggests:

> I propose simply to follow the suggestions that we should picture the instrument which carries out our mental functions as resembling a compound microscope or a photographic apparatus, or something of the kind. On that basis, psychical locality will correspond to a point inside that apparatus at which one of the preliminary stages of an image comes into being. (p. 536)

As Derrida shows in "Freud and the Scene of Writing" (1976), Freud's theory required an account of memory. This Freud supplies by a mechanical analogy to the process of photography, which has two parts: (a) the registration of the image and (b) the preservation and development of psychical traces. The idea of the activation of a photographic negative and the optical apparatus seems not to have been an adequate model. For Derrida, Freud's "Note on the Mystic Writing Pad" (1925) was the summarizing statement of a series of problems posed as early as the *Project for a Scientific Psychology* that required a model of psychical representation, a form of writing capable of combining continuous freshness of surface and depth of retention. In the case of the dream, it is a pictographic script; in other terms, it is the model of memory.

The interesting problem of the film, for us, is not evaluating its status as an aesthetic object, nor its success in conveying a convincing impression of the dream experience. The film presents itself as the report, the narrative, of a clinical case and as such it poses two closely related problems of interpretation, one textual and one cultural. (a) The disjunction in the film between the precise and voluminous
psychological detail and the paucity, even disingenuousness, of its psychoanalytic explanation calls for a more thoroughgoing analysis of the case than either the film or its commentators provide. (b) An interpretation of the significance of photography as event and as metaphor serves as the means and medium of the representation of the neurosis of the family at the end of the 19th century.

Film language is the means of plastically translating the pictorial script of the dream. The filmic sequence in *Secrets of a Soul* both by its employment of the dissolve, temporal and spatial displacement, and particularly superimposition of one image onto or beside another, visually purports to represent an unmediated dream; it is told to no one. Film language in this instance consists of special effects employed to convey the kaleidoscopic montage of imagery closest in form and content to the dream. The psychic context of the dream, its placement within a disordered set of breaks in a daily routine, a murder, a cut on the wife's neck, refers in one way or another to the announcement of the return of the cousin; and the placement of the dream sequence at the beginning of the film, without preface or (exterior) explanation, marks it as an anxiety dream. Within the narrative schema of the film, it constitutes an enigma in the form of a symptom, a sign whose significance is to be interpreted, and if interpreted correctly, will (happily!) disappear.

The narrative of the film (and in this case the film underlines the extraordinary significance and role of narrative in case histories and in Freud's work in particular) is a summary statement through which the (hidden) truth emerges. In this instance, the end of the film, with the formation of the family and the birth of the child, is an absurd unintentional parody of the optimism of the Hollywood film. One could speculate on the reason this case was chosen as exemplary; the narrative form constitutes something of a psychoanalytic paradigm: namely, the "return" and "working through"—though here, the last phase is much abbreviated—of a trauma, of an early scene.

The film illustrates the case of a couple who are childless yet who want very much to have a child. On the return of the wife's cousin (Eric) from a long absence abroad, Martin (who is also Eric's close boyhood friend) suffers the onset of neurotic symptoms in the form of a knife phobia and a compulsion to kill his wife. The phobia incapacitates his daily life and he seeks treatment from a psychoanalyst who, through free association and dream analysis, helps Martin locate an early event from his childhood that is discovered to be the "kernel of the neurosis." The revelation of his suppressed desires and fears leads to his cure; he resumes his life and becomes a happy father.

The symbolic field of the film is oriented around the childlessness of the couple. Images of impotence and fertility abound in the film. Martin is a wanderer in a landscape of anxious sexual imagery: deep caves, "brooding waters," a litter of pups, the birth of a doll/baby from dark waters, female fertility statues, large towers with rounded tops, a tall handsome man wearing a rounded white pith helmet; iron bars continually block Martin and force him into a watcher/ voyeur role while his wife is in compromising situations. There are charged situations: Martin's nervousness at being shaved (and his inability to shave himself), a stalled train with its wheels and pistons churning powerfully, and Martin's being reduced to eating his food with a spoon in his mother's house. At the sentimental end of the film, when Martin is cured, the bucolic life he leads is teeming with fertility: running streams, plentiful fish, and the youthful exuberance of Martin when he runs up a hill to embrace his wife and baby.

Many of these images, however, are overdetermined, especially the central ones of the wound on his wife's neck, knives, and phallic symbols. The ambiguity and interdependence of these images suggest the causes of Martin's impotence. The onset of the knife phobia is linked to a disturbing nightmare that Martin had the night before the cousin returns. He dreamed he saw a tower rising out of the ground.
in the Italian village where he and his wife honeymooned. Bells ring in the tower in a mocking tone (as the script tells us) and, as the bells transpose into the faces of three women in his life (his wife, their maid, and his lab assistant), the faces rock back and forth in a mocking, overtly sexual, derision. Martin runs up the stairs on the outside of the tower; when he gets to the top, the bells are still ringing but the women's faces have disappeared. He is left slumped over the tower railing after yelling and waving his cane in rage at his tormenters. The latent content of that dream deals with Martin's continued exclusion from others and of the (imagined) mocking by the women around him of his inability to have a child. The dream also represents his symbolic failure in the sex act; in the face of the dominating phallic imagery of the tower, Martin's dejected figure is eloquently expressive. It is apparent from this dream that he had been impotent from the beginning of the honeymoon.

Knives, too, are overdetermined images: the crisis of his dream, and, as it turns out, of his analysis, is the frantic stabbing of a phantom of the wife; the knife is both murder weapon and phallus; he is both killing her and possessing her. The "accidental" wound Martin makes on his wife's neck is another overdetermined image; it is both a sign of his unconscious wish to murder her and of his inability to do so.

Knife and wound are also linked together. The linkage of knife to penis requires the linkage of wound to vagina, for in the psychoanalytic mode at the time the film was made, the vagina was the primal "wound" of the castrated female. Martin's fear of causing a wound in his wife (of murdering her) is his fear of penetrating her "wound" (of possessing her), and his fear of receiving his own "wound"—the symbolic castration by his father (who is now displaced into the cousin)—results in his impotence. The knife phobia acts as a defense against his compulsion to kill; it displaces onto his wife his fear of the father and of his power to castrate him. Because Martin's phobia is centered on a knife, it is at once the means of enacting his jealousy and it is the "cause" of his impotence (the symbolic castration).

The interpretation offered by Sachs focuses on the knife phobia and on Martin's compulsion to kill his wife. His unconscious jealousy is the presumed cause of the compulsion. In his dream a scene took place, with him as the barred watcher/voyeur, in which the cousin and the wife are in a boat on dark waters; a doll/baby emerges from the water into the arms of his wife, who then passes it to the cousin. In the course of the analysis Martin remembers the event in his childhood "to which the dream points." The event is crucial to his analysis and it is the scene that ties the whole action of the film together and presents its meaning. Sachs' description of the event is as follows:

It was Christmas, the time of gifts, a particularly significant day for the child, because just before a little sister had arrived and he had been told that the mother had "given her as a present" to the father. Naturally the three children played with their dolls "Father and Mother" too, and the little girl usually gave him the proud privilege of being the "father." On Christmas Eve, when he intended to continue his play the mother came, showed him the small, living doll—his little sister—and allowed him to play with her. Thus he forgot to play with the doll for a while and the little girlfriend, who had become impatient in the meantime, gave the doll—"the child"—to the rival, the cousin (1926, pp. 12-13).

At the opening of the scene a photographer faces the film camera; behind the photographer is a large mirror in which he is reflected (Figure 1). The photographer is taking the photograph of Martin, his girlfriend, and her cousin Eric. His presence, the art of photography, and the photograph that resulted, link the remembered scene to the present drama. The photograph—of the three children posed formally—is an important device: it evokes the past and serves in this
instance to point to the distortions of recollected scenes. When Martin re-views that photograph on the occasion of Eric's return, he is visibly disturbed by the feelings it arouses.

However, in his memory of the event he had distorted it. The actual photograph (Figure 6) shows the three children, but the girl is not holding a doll as she is in the "photograph" of Martin's memory (Figure 2). This distortion is a resistance to his contemplation of an even more anxious scene that is the "primal scene" when his own parents "play mothers and fathers" with him as a child. This scene is reenacted in memory when the girl gives the doll to the cousin (Figure 3), and when in his dream, his wife "receives" a baby from the water and gives it to the cousin (Figure 5). What we witness in the recreation of Martin's memory is a scene within a scene and a hint, but only a hint, of Martin's fear and jealousy of the father who is conspicuous by his absence and who is condensed into the overetermined figure of the cousin. In the event in childhood, he is displaced by the cousin as "father" of the doll. In the scene in his dream where the baby/doll is born from the water, Martin is again displaced by his cousin as the father. His distorted memory of the photograph is a redoubled resistance to a scene lying behind the actual childhood scene, a scene where his own parents "play mothers and fathers" with him—the "primal scene."
By these means the film suggests that Martin's impotence is a result of unresolved Oedipal configurations in his childhood. The configuration is composed of contrasting and mirroring symbolic Oedipal triangles:

I.  
girl = wife/mother
Eric = father
doll = Martin

II.  
nurse = wife/mother
Martin = father
baby = Martin

Figure 3

Figure 5

Figure 6
Martin, the narrator of the memory, and its central figure, is represented symbolically in the scene as both father and child, but from the point of view of the child. (This question of point of view requires separate consideration.) The syntax of jealousy is represented through this matrix of activity (fathering within unit I) and passivity (being fathered in unit II). The expression of sadness (Figure 4) that coincides with the celebration of a birth and that punctuates the scene (in the form of a downcast glance) raises the question about the ambiguity of the identity of the preferred partner. The overdetermined Martin/Eric/wife triangle brings into question Martin's jealousy and its evident vicissitudes: Martin represents himself in the scene as father, child, and we think—given the complex forms of anxiety that Eric's return occasions—as wife to Eric and mother (as well as father) to himself. It is a representation of the complete matrix of generative possibilities, and designates both heterosexual and homosexual jealousy. Martin's father is absent from the film, even from the "family photograph" of Martin and his mother pasted into the scrapbook shown at the beginning of the film (Figure 7). It is clear from this absence, and the overdetermined significance of his part, that Eric is the representative of the father both in the memory of the early scene and in the drama that is unfolding in the film's present. While the evidence seems to point to the jealousy and fear induced by the event in childhood as the "kernel of his neurosis" (as the analyst in the film suggests), the implied scene within that memory is what gave the impetus to the neurosis. This scene that Martin wishes to avoid is the primal scene involving his

Nick Browne and Bruce McPherson 41
real father; it leads us to the theme deeper than jealousy—his impotence.

The film's narrative locates the crucial scene in Martin's present through his recollection of a memory. This early scene, we have suggested, has a distinctly Oedipal configuration (though represented in miniature, all parties being children) involving the giving of a doll/baby from one partner to another. Martin stands within this scene in a way exemplary of his situation—distinctly apart and isolated from the couple, casting anxious glances in their direction. He is the third, the figure apart. It is this situation that is replayed in the dream through all the imagery of distance and prohibition, bars, fences, and of sadomasochistic voyeurism. But this scene, about which the psychoanalyst cries, “This childhood reminiscence is identical with your dream vision,” is overdetermined at another level.

The drama of this memory is, with Martin as the central spectator, a birth, or rather, the embedded and disguised scene of his own conception as he later might have imagined it or represented it to himself.

Structurally and thematically this case has a striking resemblance to the well-known diagnosis and history of the "Wolf-Man," which Freud published in 1918. In section IV of this history, "The Dream and the Primal Scene," Freud recounts the dream and provides his analysis. There is a striking parallel to Martin's dream and the memory in Secrets of a Soul. Namely, the "Wolf Man" had dreamed at Christmas time of wolves in a tree, an image that carried a strong "impression of reality," and which he believed to be an allusion to a picture he had seen in a story book. In this dream the wolves were motionless and looking directly at him. The picture had activated a phobia against animals, in particular, against wolves. Freud analyzes the dream as the distorted representation of a primal scene actually witnessed by the child. Freud supposes that he had observed his parents copulating, with his father approaching the mother from behind. The phobia is the complex expression of a wish to act the role of woman to his father—the wolves are regarded as father surrogates—and it is evidence, Freud says, of the reality of the fear of castration. The crucial parallels are evident from our previous analysis.

What is particularly interesting in the case of the "Wolf Man" is the gap that exists between the narrative of the dream and the terms of a complex psychoanalytic explanation. The difference between story and interpretation is precisely what the Pabst film's narrative form attempts to convey through its sequencing of daily life, dream, memory, reconciliation. But Freud's case history, he is acutely aware, is not a complete narrative; it lacks something he can't supply.

I am unable to give either a purely historical or purely thematic account of my patient's story; I can write a consecutive history neither of the treatment nor of the disease, but I shall find myself obliged to combine the two methods of presentation. It is well known that no means has been found of in any way introducing into the reproduction of an analysis the sense of conviction which results from the analysis itself.... So analyses such as this are not published in order to produce conviction in the minds of those whose attitude has hitherto been recessant and skeptical (1914, p. 13).

What it lacks (and this is obvious in his exposition) is precisely what Freud is ordinarily so capable of providing: a logical demonstration. At the crucial point in his exposition, where the narrative is to pass over into a different mode of discourse, in order to supply the scene necessary to account for the phobia, he halts before going on to the description of the "picture of a coitus between his parents," that is, "what sprang into activity that night out of the chaos of the dreamer's unconscious memory traces":

42
I have now reached the point at which I must abandon the support I have heretofore had from the cause of the analysis. I am afraid it will also be the point at which a reader's belief will abandon me. (Freud, 1914, p. 36)

The supposition of a factual event lying behind a neurosis, namely the "primal scene," has proved to be one of the most problematic areas of Freud's thought, and one that seems the least necessary and the most difficult to adopt. But it is an essential part of Freud's views and it appears elsewhere, in the theory of the parent's literal seduction of the child that preceded the formulation of the theory of the Oedipal complex, and in the theory of the primal horde in Totem and Taboo. What is at issue in such a characteristic explanatory gesture is Freud's attempt to mythologize the origin of the human subject, and of neurosis, through an account that supposes an archetypal drama (scene) the "Urphantasien" (primal phantasy). This concept serves in some phases of Freud's thought as a phylogenetic substructure, dramatizing the original point in the history of the emergence of the subject.

What concerns us here is not the validity of this explanation, or even its role in the psychoanalytic schema, but rather how, in the film under discussion, it relates to the technology of the primal scene. The system of the unconscious was elaborated as a scientific model through an analogy to an optical apparatus that considerably antedated the appearance of psychoanalysis. This conjuncture of psychoanalysis and photography, however, raises the question of the social and personal effects of photography in the constitution of images of the self and of the representation of the family. Certainly part of the archeology of psychoanalysis—discovering the operation of the unconscious in its relation to the family matrix—is a product of the 19th century. This discovery extends as well to Freud's transformation of the European idea of childhood through the assertion of childhood sexuality and coalesces around a changing conception of the family and the self. Certainly psychoanalysis emerges as a form of therapy and as a popular movement at the time the bourgeois family is subjected to the pressures of advanced industrial capitalism. Secrets of a Soul permits us to entertain a range of questions that it never really formulates: about the condition of the European family as the unit of social reproduction as it enters the 20th century, about the social conditions in which psychoanalysis as a movement was sustained, and about the popular uses and conventionalized forms that photography takes in relation to the family. While the film in some sense contains or raises these questions, it explicitly does so only in relation to the events of the early scene, the giving of the baby, which Martin recounts. It does so then through its evocation of the primal scene.

The specific question of interpretation that Martin's memory of this crucial scene raises is the conspicuous fact of the taking of a photograph. The scene with the photographer opens under the auspices of Martin's narration. The photographer is looking into the movie camera and in this he violates one of the narrative cinema's central prohibitions. A reverse shot shows the children stiffening into poses worthy of the occasion and cuts back to show the photographer smiling and indicating he "got the picture." This series and subsequent shots are framed (cf. Figure 2) so that the children completely occupy the vertical dimension of the frame, cutting an adult at the waist. Though this scene is developed through a shot/reverse shot format, a spatial disjunction, between the angle of the shot and the view it depicts, provides a sense of an objectified first person view. Though the impression conveyed, by scale and choice of angle, strongly asserts the immediacy of a present event from Martin's point of view, the style records, through a kind of distance, the effect of the narration of a memory. Of course this representation is sustained by the convention that there is no actual narrator or audience.
Clearly, the photograph being taken in this scene is meant to find its way into a family album. Indeed, it appears at the beginning of the film as Martin and his wife leaf through an album to prepare to welcome their cousin. In this it functions as a kind of record and even perhaps memorial and commemorative device that evokes and celebrates childhood. But the significance of the photograph in the film is not limited to this mnemonic use; it is attached as well to the act of photographing. It is clear here that the taking of the photograph precipitates, fixes (almost in the technical photographic sense), and condenses the impact of the early trauma of exclusion. It is a kind of singular event within a chain of events of a symbolically significant scene, and its uniqueness is designated as such by its striking prominence as the first shot in the sequence, and by the striking breach of the prohibition against looking at the camera. In this respect it conforms to two key elements in the case of the "Wolf Man": the direct looking of the wolves at the dreamer and the anxiety and special significance attached to a pictorial image—whether a drawing or, as in this case, a photograph.

The case for this scene as a reenactment of a "primal scene" has a clear enough logic, though its consequence, castration or impotence, has affiliations not restricted to the case depicted by the film, but to the disorder of the social institution of the family as well. This logic is clear: what the sequence represents literally and also symbolically is Martin's witnessing of the event customarily prohibited to his view. In the case of the "Wolf Man" the interpolation of a picture within the chain of symptoms acted as a kind of screen. The picture found in the story book blocked, and at the same time fixed, the original view in the form of a screened, though concrete, pictorial memory. Blockage, or fixing on this screen, is thus linked to avoidance, in the form of the animal phobia, and to symbolic castration. In the case of the neurosis presented in Secrets of a Soul, the image in the form of the photograph is fixed under similarly provocative conditions: it either repeats an earlier scene or, more probably, fixes an inaugural one. The event of Martin's being photographed is at the same time the sign and the structure of the situation during which that moment is introduced into the "archive" of his memory. The simultaneity between the childhood event and its being photographed makes the case in the film different from the case of the wolf man.

In the film, being photographed is an integral part of the psychic structure of the dramatic event and not just of its subsequent remodeling. What is recorded as childhood memory in Secrets of a Soul, we suggest, thus belongs to the history of the appearance of the new medium of reproduction, photography, in its novel relation to the dynamics of the family. It introduces the mythic event underlying the formation of the subject into the technologies of the 20th century. The feature of simultaneity, of representation as part of the family drama, is a new and perhaps decisive historical moment in the relations between technology and the autonomous natural image-making capacity of the subject. Martin's discovery of the source of his phobia in the scene of recognition at the end of the film is like the development of a latent undeveloped or negative image that fixed at the moment it was taken. The psychoanalytic context and the monologue it implies are required in order to animate the frozen image, dissolve the blockage that caused it, and introduce that memory into the flow of a life story.

It is in this connection that a specific cultural dimension of the film appears: the event of photography within the drama of intrapsychic processes of the family. The film concentrates on the dismembered family: the absence of the father is at every point insisted on and affirmed by the displacement and reinvestment of the paternal function in the lost father, or the father who has returned as the cousin. In the situation depicted for psychoanalytic instruction, the representation of the
figure of authority refers to a set of social as well as personal circumstances. The family matrix can be seen as an apparatus of production and reproduction of images, roles, or persona whose "product" is a functioning sexed subject. It is within the disturbance of this "natural" arrangement, linked to a crisis of authority—whatever the opaqueness of its causes—that the media technology and its social action appears.

If the historical configurations that bring together the masterpiece of psychoanalytic thought on dreams and the birth of the filmic apparatus are not regarded as simply coincidental, their relations call for study and documentation. The rise of the psychoanalytic movement, for example, coincides closely with the elaboration of film language. From this vantage point, Bazin's speculation that "if the visual arts were put under psychoanalysis, at the origin of painting and sculpture there lies a mummy complex," (1968, p. 9) seems all the more problematic. The relation that recent film theory has brought to the fore, the affinity and analogy between the deceptive operations of dream and the function of modern ideologies, opens a provoking new conceptual space in which these phenomena, dream and film, are historically linked.

REFERENCE NOTES

1. This statement is quoted by Chodoroff and Baxter (1974). Their article gives a full account of the genesis of the project. We wish to acknowledge Professor Chodoroff's courtesy in supplying an English translation of the script on which the film was based, "Secrets of a soul, a psychoanalytic play," by Colin Ross and Hans Neumann.
2. We are reading the film according to the psychoanalytic doctrines of the 1920s; Freud's troublesome iconography of the female was present in the film.

REFERENCES

Metz, C. The imaginary signifier. Screen, Summer, 1975, 16 (2), 34ff.
March 6, 1975: (Three distinct faces, and then a fourth—a Rushmore of remembrance. In three dreams, which intertwine on awakening and are somehow cut by the fourth face.)

Jane in profile,shawled in black... black cloth coat muffling her neck draping her shoulders: a medallion of sharpening features, metallic finally... silvered, as on coin: it is not Jane, then.

(I rise, piss thru a hard-on, sleep again—about an hour.)

Then the three-quarter view of the mid-age face of Robert Duncan, eyes wide with excitement. He has been extraordinarily pleasant to us: ("None of us is/are entirely pleasant"), defending some presentation of mine. The background is his old living-room at 1724 Baker St.... which is now ours—a crudely curtained stage at the kitchen-end of it. Duncan stands midst an audience, having spoken to them, turned now three-quarters from the makeshift stage, his argumentative gesture and pleasant features frozen or stop-framed. (In mind... an awakening, a shuffling in bed—determination to remember this dream: sleep again, about half-hour's worth.)

Midst the Johnny Carson TV show. A young man singing: "To my honey I'll croon/’neath the silvery moon" (tho' I only remember the melody—of this specific passage—on awakening). Only Carson’s visage visible, almost full-face but being the huge background bill-board image of him behind the TV show’s jazzy band. The song is over, midst applause. Johnny speaks some cliche thanks thru motionless lips. Suddenly the young singer’s face cuts thru this motionlessness, sharp featured three-quarter (opposite of Duncan’s) and profile (for the face is shadowed in half-mobile visage, shark-like in movement... a turn-of-lip, tautness of cheekbone and heavy-lid-of-eye (which reminds me of several young ‘lovers’—of homosexuals I’ve known who’ve patronized a series of boys—as distinct from the individuality-of-feature I recognize in homosexual marriage... this young singer, then, of a type

*Unpublished material housed in the Anthology Film Archives, 80 Wooster Street, New York, N.Y. 10012.
much favored for homosexual "affairs"...kin, then, to those advertised standards-of-beauty which young women effect to attract older men seeking mistresses, etc.: I recognize Michael McClure's young features somewhat within this "type" and that 22-year-old photo of myself as shot by Chester Kessler and now on exhibit in a San Francisco show.

April 4, 1975: As if within some penny-dreadful movie, I am asked to rescue a heroine; but I am also her, tho' seeing her at some distance...seeing her move thru the props of halls, stairs, rooms of an old house...seeing her angular postures as she stops and starts, fretted by terror—yet identifying with her fright as I would watching movie heroine on theatre screen.

The first person singular eye—which is I because it does not see myself—moves thru a suburban neighborhood of flat modern constructs spaced by lawns. I flag down a cab and am then somehow within it, taking over—despite protests by strangers...previous passengers. The cab driver does not seem to mind. He continues his mindless cabbie joking with these invisible back-seat protestors. I drive.

Countryside sweeps by. Then a tough pull-of-wheel right/left signals ruts. The windshield ripples with rain...the dirt roadtwists and sudden bumbling disappearances of it from the bright yellow of headlights.

The old scary-movie prop house appears on hilltop.

The movie heroine I/eyed by me stands wide-eyed and open-mouthed in fright at forefront of a long hallway—in posture of Munch's "Scream". She/me cannot see what is frightening.

April 9, 1975: Dark night head-light lit drives...as to New Jersey, Conn. out of N.Y. City) stupidly fearless unknown drivers...as were those students who'd pick me up for some back country lecture stint)—straight swift streak of sidelights, other cars, whatnot whisking past and making a Penn. tunnel I seem to be hurling into.

The steam of railroad locomotive...as from Penn station—the milk-train to Yale or Trinity College; and again the night, the tube of light-streaks.

New York City fogged over...soft brown thru mist—black wet asphalt. Appointments? but I cannot remember them...ordinary lectour fear.

Traveling with Marie Menken thru patches of sun—young Marie (as when I first met her)...large bust in double button tan wool dress suit—chest thrust forward—courageously marching or being carried along at a trot...her face serene beneath an orderly sweep of hair bunned gaily atop her head, as if she were wearing a rust-colored bonnet. She has taken my hand.

Visiting Willard Maas in his (not felt as Marie's, at all) disorderly gray-wood-porched collection of dismal rooms stuck to the side of, and burrowed into, an ancient brick wall...this is the image I've dreamed as Willard's 'home' several times before—never seeming at all related to the Penthouse Apt. he and Marie shared...except, perhaps, as "disorderly"). Willard's sly scheming eyes bouncing bits of cloud-light from the moisture of his excitement. He bustles and puffs quick breath shuffling up the stairs and about his porch and into these caves of rooms.

Jonas Mekas has agreed to take me to an ordinary escape movie. The theatre is golden in its front lit up with thousands of bulbs glowing in the mist, reflected in the damp street.

But we are not there yet. He is meeting me in my hotel room. There is a car to be arranged for, other things to do first. I fear we will be late or miss the movie altogether. He is making concession to my wants to arrange this movie at all; he doesn't share my sense of urgency about it. I am afraid, anyway, that he might spoil the pleasure of the movie by criticizing it or by fidgeting in his seat, or that I will feel myself disgraced in his eyes if I too much enjoy it.

I feel helpless, thinking only of the vision of the theatre—as Jonas purposefully moves about arranging and disarranging the air of our passage with his hands.

STAN BRAKHAGE
April 20, 1975: I'm expected to catch the ten o'clock bus in a foreign city. It is seen in vertical strips of color—either banners or door-frames or whole buildings of singular hues... avocado green, salmon pink, gray-blue, chartreuse, silver-tinted blue—pale colors, but very gay.

(Ah, yes—my dream is color-film with "green" as the bracket, and "blue" the color of my mother's artificially tinted hair.)

I'm leaving some building of this city early.

I'm immediately arriving at the bus terminal, purchasing bright yellow tickets across an old wooden counter from a bespectacled man with a bald head who tells me that I must catch the bus, a No. 347.

The bus sign outside the terminal reads... white-on-green... number hundred-and-something.

I'm walking. Streetcars are passing amongst the lovely pale multiple colors of the city.

Number two-hundred-something finally appears, but it is nearly ten o'clock. I realize I won't make it.

May 7, 1975: I am in a vast school, infinity corridors in all directions, numberless doorways leading only into windowless classrooms, neon green illuminating everything, all lit with (darker than fluorescent) gaseous phosphor. It is as if the walls, floor, ceiling were surfaces of television tubing.

There is one room made of marble (tho I almost wrote "granite," thinking of the bedrock our house sits upon, the non-porous granite which is the back wall of my 'vault' and which I thus hope has only sprung a small leak from cracked rock rather than, say, a spring leaking into this precious place where I hope to preserve film); and the polished marble of this room, which seems of the quality of a gymnasium, with its hollowed sounds, is carved as an oblong box bench, all four sides, around a rectangular pool beneath an opening into sky above. It is a Roman inner courtyard then (very like that model of one I constructed for Jr. High Latin studies). It is very dark—gray mottled marble whose polished surface only refracts the sky light dimly; but this dull whitish light affords joyful relief from the green luminosity of all artificial lighting.

I am young... (so young that the sex of my school companions is un-notice); and I am surrounded by friends in some desperation to escape from this institute. It seems that none of us has found a way out.

And I am then searching for an exist (wonderful pun on "exit") sign when I discover a large red barn embedded in one of the hallways. "An exhibit!" I think (something as artificial as Marie Antoinette's "farm" at Versailles).

I am opening the large wooden doors and discovering a vast dark enclosed space lined by lofts of dull yellow hay. In the center sits a daily colored gigantically sagging balloon (such as that used to escape The Emerald City of Oz).

Then I find myself sitting thru a handful of tiny toy balloon sacks; and I know I can make the large balloon work to free myself and friends, if I can but convince them to transport it to the inner courtyard.

Somehow they have, and we are all within this ballooning basket poised over the pool—which is now bubbling sewage and overflowing the marble benches. We know that it will soon flood the entire institute. Shit and straw roll over the bubbles surfacing thru green. It is all turning brown and frightening me and all my friends.

I'm now then blowing up one of the toy balloons—a blue one; and as it shapes sphere-of-my-breath, the large ballooning above us takes shape and begins to rise... slowly, slowly.

Free!—we are suddenly thru the clouded sky—lite and into the blue and rising above the whole rooting tangle of corridors twisted in and out of the earth beneath us... the balloon rising now above even the few towers of the school.
I tie my toy balloon beneath the bellowed full sphere above us, and we are all watching the wondrously distant world rush past our passage over it. The sun, which is softly golden, appears to accompany us; and its warm flower-like light sparks all shades of rainbow from the Earth. The green grass glows as if it were back-lit emerald. The mountains rise sheer and ice-white from these lawns. The sun radiates spikes of itself which touch the white-white pinnacles of mount-terrain causing rain-drop/bow-like visual echoes to each golden sun-thrust.

The little blue balloon begins to sag; and I’m blowing up a bright red sphere to tie beside it (and here I find some source of the dream in my airplane ride day-before-yesterday from Buffalo to New York: a rather gross business man, dressed in Russian style/square suit, after rudely elbowing his way into his seat, had teased the airline hostess about giving a child a balloon; he’d said he wanted one too... said, when she answered that the balloons were for children: “I’ve got a child somewhere here in me!”—laughing, and when she gave him one, saying “you’ll have to blow it up yourself,” he’d puffed and puffed into it, playing with it, trying to get her attention, and finally tied off the end of this small red oblong balloon and obscurely let it rest in his crotch for most of the flight: that flight, then, encountering enormous bubbling-up thunderheads which caused the pilot to insist on safety straps half-dozen times and then to assure the passengers, with increasing anxiety in his voice, that there was no danger—as the airplane pitched about and tilted at angles beyond anything I’d ever experienced before).

The balloon ride is becoming bumpy, and my friends are all worrying about where we should settle down, but I know that the sewage will soon cover all the Earth—all the Earth... the white mtns too; and I only wish to look at its beauty while there is the chance! I do not tell them there is no place safe to land because they’d just panic.

I only want to see it—not waste time trying to find some safe place, and I blow up yet another balloon—yellow... one which takes an oblong shape with sharp corners. It seems there is then a walkway to the large balloon, itself made of rubberized air. I’m sitting on the cushion of it—a balloon bench—looking at Earth’s emerald and white. A friend comes to sit beside me, speaks of places to land. I realize I also am afraid of the height... that I do not want to get up. I sit... watching. (I wake... most happily ever).

May 17, 1975: The three-quarter view of a startlingly dark-sky-blue colored rabbit with bright scarlet eyes and red veined ears... all suspended in colorless air.

(I had been reading “Watership Down” by Richard Adams before going to sleep—the chapter about the Black Rabbit of Inle; but then I had also been paying much attention to Myrrena’s rabbit Ruby, yesterday. Ruby is a white rabbit with eyes that prompted her name and such brilliant blood veins in her ears as to cause me to think of them as “red trees in those hollows”; thus the dream has provided a ‘sky’ for those “trees” toned ‘her’ all over the color of late evening sky.

As I awoke with a sense of weight and nagging tension to my breath, a close kin to that quality of fret which precedes asthma, whether I’m allergic to Ruby and if, perhaps, this is a dream-warning; but then the comforting quality-of-tone of the dream rabbit prompts me to think of it as some cosmic echo, or answer, to that symbol of Death which Adams’ Black Rabbit of Inle represents.

No!... it is some powerful sign—a compound of a much longer unremembered dream—and embodies, or emblems, a complexity of means beyond conscious memory or possible merit; and, as such, it haunts my day more than the narrative discontinuities of the average dream I’m enabled to write about... suggesting to me, that those dreams which leave no residue to conscious thought may be the most powerful life-shapers of experience.

These brief amalgamatic signs of unremembered dreams, as I sense them, further suggest a new possibility for film-making—or a path-of-creativity related to,
say, “The World Shadow”... akin to painting, but premised upon such subtleties-of-movement as I am unable to explicate with language: the twitches of fur of the blue rabbit, the sway of red veins which relate them to trees, the solidity-of-eye, the partial turn of the whole rabbit figure in space with shift-of-foot after that turn... none-of-which was even mentioned in my writing of the dream because the real quality, or meaning of those moves is beyond my descriptive abilities... or even, possibly, beyond description.

I must attend, more carefully, these slight—or perhaps slighted—moves. I must stop using the term “sign” and all such emblematic recognition as might limit my attention to move-meaning.

Further, is there a way to make a film which is utterly unmemorable?

May 19, 1975: A still photo of what seems to be a hospital parking lot seen from several hundred feet up. The picture is black and white. In the upper right-hand-corner, among the various grays of slanted car shapes a white-white horizontally-elongated speck reveals itself to be the uniformed body of a nurse. The regular rows of black vertically-elongated boxes of window-shapes of the hospital, mid-to-upper-left of photo, seem to be staring blankly at this body...some architectural anthropomorphism I cannot explain. The only movement is that of light brightly reflected off the glossy surface of the photo—irregular strips of reflection radiating from mid-bottom as if designating the bend of it where it is held pressed by holding thumb. These reflections shift slightly as the photo is turned a bit counter-clockwise for some more emphatic look at the image of the body.

(Again, this is radium of some pitchblend of narrative dreaming. I know it is a hospital park lot and that the body-speck is that of a nurse, and even that this image depicts street-accident because of tenuous threads of association with unremembered dream. I’ve never otherwise—seen such a “hospital” or “lot” or “nurse” or photograph-of-same; tho the photo-bldg. is remindful somehow of the picture of the courthouse of Bisbe, Arizona used at end of “Scenes From Under Childhood.”)
Buffalo, April 27, 1977—The following is an account of a dream I had some years ago, while spending a night at P. Adams Sitney's apartment in New York City. It is related as I wrote it, in a journal entry dated December 16, 1969; for clarity, some phrases have been reworked or extended. "PAUL PULLS THE TRIGGER/the context(s) of this dream segment are forgotten; what remains in this image: 'I' shoot myself with a hand pistol but then, thinking 'One shot in the head is undramatic', I start over again, this time pulling the trigger a half dozen times in rapid succession—as if 'I' were watching a film of 'myself' but also feeling as if 'I' were there, in 'myself'. Observing and experiencing, as two levels of 'dream-self'. Another level of 'self' was simultaneously involved—feeling as if I, 'me' the real but sleeping 'Paul' were directing, directly, the dream development.
So, there is 'me' the dream director;
'me' the dream watcher (but in the dream as well); and,
'me' in the image of 'me' (feeling my dream as if it (me) were really 'there').
I felt no pain; I do not know if I 'died' (as the dream went on—but I cannot now remember if I went on in the dream; if 'I' didn't go on, in any of the above senses, how was 'I' locating my perspective to the ongoing dream action? Had I freed myself from subjectivity in dreaming? That is hardly likely; what is more likely is that 'I' (or is 'it' the 'real' I) had shifted to a more remote perspective—I am stunned that this is possible, since my dream life is presumably mine; on the other hand, one often transcends the feeling of selfhood, in conscious life, usually when one is in the action-of-creation; but can 'pure subjectivity' also transcend itself?...ignore itself? Perhaps I have experienced this no-perspective, no-self before and now I am realizing it only because of the suicidal imagery which preceded that 'state of mind'. I know that somehow this dream experience is related to a current desire to change 'my' name to a 'non-name', cancelation [note: is this the name I wanted then?]
1977 Analysis of December 16, 1969 dream—The period during which I had the mentioned desire to cancel my name-identity was following a separation from my wife, after some seven years of marriage; it was a period of self re-evaluation, a period in which I ached to change my entire life. Perhaps I was trying, in my dream, to negate the old Paul. I had a lot of ideas about new names for my would-be new self; things like ———, or just “”. I believed that this rather painful/ frightening/manic period was preparation for a new kind of creativity. On the other hand, I have continued, now and then, to have dreams of “self-destruction” so, if my guess is correct, this kind of “negation” is not terminal but is a rhythmic process; whether or not it is a necessary process, I do not know. I periodically am quite reckless, to the point where near death disasters become inevitable (in conscious life). Yin-yang: to create is to destroy; etc. Anyone’s guess is as good as mine. Recently, I amused myself with the idea of changing my name to Paul Predicate; although I am no longer serious about changing my name, little notions come to mind occasionally.

Taking another tack, it might be more important to check for possible relationships between the 1969 dream image and other physically self-destructive dreams than to try to see the concept of identity negation as the prime meaning level of the 1969 dream. Another dream, along similar lines, which I can remember is one which I had in 1971 or 72, staying over at Sally Dixon’s home in Pittsburgh, after screening my work at the Carnegie Institute Museum of Art. I went to see a Buñuel film, which was billed as being his “return to surrealism”. The film seemed corny to me; I didn’t feel affected by its violence. However, my dream that night contained within it just about every imagistic icon that the Buñuel film contained (not the same “story” line or the same circumstances but the “iconography-isolated-from-its-former-contingencies”). The part of this dream which is important to this context is when I shoot myself, with a hand pistol—again, in the head.

Naturally, I have thought of Freud’s concept of Castration, in regard to these dreams. However, I think it is more complicated than that. (In any event, Buñuel’s “surrealism” was vindicated, for me, after this dream!) In this dream, I do not die, right away anyhow. I feel no pain; I do not feel a multiplicity of self-levels operating during the dream—I feel wholly there, within my dream self. In the dream, I go from one friend to another, seeking their sympathy, I suppose. They are all very detached emotionally and in one way or another simply tell me that I have a bad wound, that I am dying, that I should go to a hospital—and, then, when I decide to seek medical help, a friend tells me that I needn’t bother as I’d never make it on time. The gushing blood from my temple keeps getting in my eyes and I have a very tactile sense of it, damp-cool, uncomfortably messy.

April 14, 1974—Dream/late morning/Latham Hotel, New York City (Had breakfast and back to sleep for 45 minutes, didn’t seem like I was asleep; only when I remembered this dream did I realize I must have been asleep).

A woman is asleep (like across from me in subway car or small room); slouched in a chair. She starts talking in her sleep. Cannot remember her words, but everything she said, she repeated/looped 2 or 3 times, i.e.: “he went went to to to the the store store”. This is like a soundtrack I have planned for a film. I believe I realized this during the dream and thought about its implications. The dream was almost frightening (I have a fear of hearing people talk while they are sleeping—one time a few weeks ago, Laurie started laughing a lot in a dream).
Dream of making film of black back-lit 3:4 panel
• move camera about slightly
• light bleeds-glares over edge of panel
• “FILM FRAMED” (i.e. edge of frame emphasized)

could be used as a matte for an internal diagram image of
1) light mechanics (bulbs, etc.) 2) splicing (remember dream of cubes of living flesh—sci-fi type mood)
Dream of seeing a film of highly mechanical (loop) & compulsive animal rhythms:
1) a series of deer in water

\[\text{\textit{clunk}}\]

2) turn into skeletons when hit head on cement
3) “skreetching” scraping sounds: skeletons spastically but mechanically “inch” along cement “shore”

Dreams of falling:
1) bath towel → doctor in niteclub on new year’s eve → helix stairway absurdly high → pass two old ladies → decay (ensor-like) and skeleton fragments toward top → old lady says something about “memory” → everything collapses and we are falling → old lady says “can’t remember the doctor’s office being in mid-air” and I in jest: “well, you’d never forget ‘this’!” → ?!
2) Bob G. jumps off absurdly high factory to show me how adept he is at leaping into trees—which he does, violent, near death, fast, exciting.
THE ADAPTATION OF CINEMATIC DREAMS

By Marsha Kinder

Many researchers believe that dreaming may be an evolutionary mechanism that mediates between genetic programming and cultural imprinting, generating new possibilities for the future (Jones, 1970). This assumption may drastically alter our understanding of the connection between dreams and the mass media. We now know that the basic rhythm and form of dreams are genetically programmed and controlled by the primitive part of the brain. But the more highly developed forebrain determines the content, recombining self-generated images with images from the reservoir of memories that have been shaped by the culture in which the dreamer lives (Hobbs & McCarley, 1977).

The advanced technology of our culture has undoubtedly transformed our dreams as much as our waking lives. We are bombarded daily by thousands of prefabricated moving visual images that can be incorporated into our dreams. Television and movies, in particular, have influenced not only their content but also their style. Many dreamers report seeing newsreels, animation, fades, dissolves, superimpositions, freezes, and instant replays in their dreams. Some of these techniques may have appeared in dreams before being developed in the media; perhaps they even contributed to their invention. Whatever their genesis, the media have made these techniques commonplace within our cultural dream pool.

The fact that visual images are directly recorded by our brain, and reprocessed in our dreams, means that they readily become part of us. We have an extraordinary capacity to become what we see. Literature cannot influence our dreams as strongly as films and television because it is not a visual medium. Although words are arbitrary signs coded by the culture and although their specific meanings depend primarily on the context in which they appear, words evoke different sensory images in different readers; in fact, some readers respond with no visual images whatever. Reading is essentially a private act in which the reader must take an active role in choosing images and setting the pace. We have much less control over visual media, where the rhythms are set by the editing and where the images represent the external world more directly and concretely than words, thus giving them another meaning besides those established by the particular context in which they appear. This combination of factors makes it very easy for a viewer to lift any visual image out of its filmic context and adapt it readily to a dream, even if the conscious mind does not find the image compelling. In one of his dream reports
included in this volume, Paul Sharits traces the cinematic source for a specific dream image of a hand pistol that he uses to shoot himself in the head.

I went to see a Buñuel film, which was billed as being his “return to surrealism”. The film seemed corny to me; I didn’t feel affected by its violence. However, my dream that night contained within it just about every imagistic icon that the Buñuel film contained (not the same “story” line or the same circumstances but the “iconography-isolated-from-its-former-contingencies”).

Dream adaptation moves in two directions. Not only are dreams adapted to a wide range of media, forming the basis of certain styles (e.g., surrealism, dada) and genres (e.g., dream visions), but other art forms (especially movies and television) are absorbed and adapted into dreams, generating new dream genres and archetypes. The interplay between dreams and films is particularly intriguing because these two media share many primary features: e.g., the primacy of moving visual images, spatial and temporal discontinuity, and the double identity of the dreamer as passive voyeur alone in the dark and as actor projected on the luminous screen.¹

No one has dramatized these similarities more brilliantly than Buster Keaton in *Sherlock Junior* (1924), where he plays a movie projectionist who dreams that his transparent double leaves his sleeping body to enter the fictional world of a film (a melodrama entitled *Hearts and Pearls*) where he reenacts the Oedipal triangle and fulfills his wish of winning the girl away from the powerful villain. The dramatic situation allows Keaton to combine contradictory roles of a dreamer—a sleeping frozen-faced projectionist and a daring, acrobatic stuntman, a rational decoder of mysteries and an ardent, needy lover. His witty derring-do enables him to master feats of dreamwork, particularly in the archetypal chase sequences where he transforms a sinking car into a sailboat, rides on the handlebars of a driverless motorcycle, and escapes his captors by jumping out of a window into a convincing disguise as a woman (Freud claimed that everyone has bisexual dreams). Despite these Freudian overtones, the most brilliant and funniest sequence relies on the formal parallels between movies and dreams—the discontinuity of space and time—as the primary source of humor. Every time the film cuts to a new scene it leaves Buster behind floundering on stage in the previous reality, trying to adapt to the peculiarities of this dreamlike medium. Just as he is about to sit down on a bench in an elegant garden, the film suddenly cuts to a shot of a busy street, where he falls down; later, when he is stranded on a rock in the middle of the ocean, he dives into the water, but another fast cut makes him land headfirst in a snowbank. Once Keaton is awakened from his dream by his fiancee who comes to his projection booth to apologize, the film, which has formerly been the vehicle for his private fantasies, now takes on its more public function of reflecting and perpetuating cultural models of behavior. Buster watches the screen for instruction on how to kiss his girl and slip the ring on her finger and then is disturbed when the film reminds him that these courtship rituals will soon lead to bringing up babies! He is able to move so easily from his personal dream to the cinematic melodrama because both focus on the same archetypal romantic triangle and provide narrative solutions for human survival—for the individual and the species. Just as Jung argues that fairytales and myths represented the projected dreams of a culture, in Keaton’s technological society this function has clearly been taken over by movies.

In this essay, I plan to explore the two-way process of adaptation between dreams and films, drawing on concrete examples wherever possible. This discussion will be shaped by a set of general assumptions that apply to any adaptation—from any period or medium, moving in either direction.

Every adaptation is not only a work of art but also a form of criticism that simultaneously functions on three levels—practical, theoretical, and phenomeno-
logical. First, any adaptation offers practical criticism of its source in that it attempts to capture the essence, or certain nondiscursive qualities of the original. Buster Keaton chooses to adapt *Hearts and Pearls* to his dream because it provides appealing roles for the principles in his own romantic triangle, it enables him to act out his detective fantasy, and it encourages him to perform the daring stunts of a hero. His selection process helps to define the essential features of the detection romance. Secondly, in the process of deciding what can be carried over from the original and how the potentialities of the new medium can be exploited, the adapter implicitly makes a theoretical comparison between the two media. Keaton discovers that film and dream share a spatial and temporal discontinuity that differs from theater and real life. Yet, the unique dream characteristic of feeling simultaneously both inside and outside of a particular space or experience, is expressed in Keaton's filmic adaptation through the narrative situation, which, in contrast to the spatial and temporal discontinuity, functions symbolically rather than phenomenologically. Thirdly, since every adaptation appeals to a different audience existing in a different time/space continuum than that of the audience and artist of the original work, it must implicitly compare the two different phenomenological contexts in which the works are experienced. Though Keaton experiences his movie and dream in the same darkened theater, he is in a peculiar observation place for both. Never sitting among the audience, he chooses either to replace the projector in the booth or the hero on the screen and implies that this triple point of view is possible in both media. Only when he awakens is he able to distinguish between his dream and the movie, yet his problem is how to adapt these two fantasy modes to his waking life. When his eyes are closed, he is totally submerged in his private dream; he doesn't imitate his idols but actually becomes them and thus is enlarged by the experience. But once his eyes are open, he becomes a conscious imitator and realizes that the visions projected by movies lead thousands of dreamers along the same comic path.

These three levels generate three different criteria for evaluating an adaptation, which together comprise a dialectic. The practical level strives for a similarity between the original and the adaptation; the theoretical comparison assumes that difference is inevitable and valuable; and the phenomenological comparison accepts the combination of the similarity and difference as an enrichment. All three sets of criteria are highlighted in *Sherlock Junior*, both for the character within the film who adapts the inner movie to his dream, and for Keaton the director who adapts the dream medium to film.

Whenever dreams are adapted to film, a great degree of distortion is inevitable, yet the dreamer selects some aspects to retain and to communicate to others. The same applies to all dream reports—whether written or recorded, verbal or visual. Such reports are usually deemed unreliable, yet they are analogous to documentation of other forms of perishable art, and to recordings of artistic performances. Such documentation (even a filmed play or concert) is generally considered to be art (though of a secondary kind) because no other access remains and it usually captures images that have resonance both for the dreamer in the process of creative revision and for the audience in responding to the resulting adaptation. One main difference between the film adaptation of a dream and other forms of documentation is that the former is granted a much higher status of artistic expression than the original dream on which it is based or any intermediary forms of notation, partly because it can be consciously controlled.

Adaptation is a form of secondary revision, which Freud assumed was a means of distortion or censorship that made the irrational dream material more acceptable to the conscious mind. Even if we accept Hobson and McCarley's activation-synthesis model of dreaming (1977) and reject Freud's theory of censorship, we may still acknowledge that considerable distortion does take place.
in the dream report, perhaps because dreaming is essentially a right-brain experience while the process of verbal recording is primarily a left-brain function. Yet even in the critical process of selecting the medium of adaptation and deciding what to emphasize or omit, neither Freud nor the new neurobiologists would deny that the unconscious or the right brain hemisphere might play an active role. When the critical process is dramatized in the dream content of artists, it frequently appears destructive or inhibiting. For example, Paul Sharits concludes his suicide borrowed from Buñuel “is undramatic,” so he decides to repeat it. Stan Brakhage fears that when Jonas Mekas takes him to “an ordinary escape movie... he might spoil the pleasure of the movie by criticizing it or by fidgeting in his seat.” Both Brakhage and Dusan Makavejev report dreams where they decode the meaning of photographs that reveal latent violence. Scientists have not yet discovered the process by which the forebrain selects and combines dream images, but Hobson and McCarley claim it must involve some randomness. Even if this is the case, the consistent patterns of images found by Calvin Hall (1966) in the content of dreams experienced by one dreamer in one night and the consistent thematic and stylistic patterns discovered by psychotherapeutic analysts of dreams suggest there is considerable method, perhaps unconscious, in the selection process. Of course, the patterning may emerge in the process of “reading” and interpreting the dream report. Freudian dreamwork theory actually presents a methodology for reading such adaptations. In either case, the tendency to create or discover patterns seems to be an inherent characteristic of the human brain. By examining some specific examples of dream adaptations, we may discover that, like Freud’s methods of free association and analytical interpretation, the adaptation process (moving in either direction) is an effective means of illuminating rather than distorting the latent content of the source on which it is based.

FELLINI’S AIRPORT '61

Fellini’s dream report and sketches included in this volume date from 1961. While they immediately evoke the brilliant airport sequence in Toby Dammit, 1968 (Fellini’s adaptation of an Edgar Allen Poe story, which is an episode in Spirits of the Dead), they also illuminate his masterpiece 8½ (1962). Admittedly his most autobiographical work, 8½ traces the artistic process by which a filmmaker converts his memories and immediate sensory experience into dreams and fantasies, which he uses to create his new movie. Although he is a film director rather than the director of an airport, Guido, the middle-aged hero of 8½, fears he is losing his creative and sexual powers and suffers the same indecisiveness and confusion that Fellini describes in his dream. Guido also tries to stall those who await his decision—his producer, his actors and crew, his wife and mistress, and the press—with “childish lies which are less and less convincing.”

This state of anxiety is powerfully expressed in the opening nightmare sequence, where Guido is trapped in his car in a low-ceilinged tunnel in the middle of a traffic jam. The camera pans out of the darkness over the tops of the cars into overexposed brightness, as if seeking an escape route, then moves in front of Guido’s vehicle and shows him looking at the occupants trapped in the other cars. They stare back like zombies, silent and immobile, as if waiting for him to act (like the passengers in the airport). The strange silence is broken by the sound of Guido’s panicked breathing, as the car fills with steam and he fights suffocation and paralysis (which is reinforced by freeze shots). The car becomes “a terminal room with glass walls” (Figure 1) (an image that recurs in a later dream, where it is converted into his father’s tomb, and in the steamroom fantasy, where the Cardinal condemns Guido by shutting him out of the Heavenly City with a glass window). Guido pounds

MARSHA KINDER
desperately against the windows, then climbs out of the car and flies through the air to the sea on his own power (Figure 2); his joyful flight is transformed into an anxious fall when a rope tied to his ankle is yanked by his film crew waiting below (Figure 3). The men who pull him down resemble the priests from his childhood memory, who forcibly yank little Guido (who is dressed in the same black cape that the adult dreamer is wearing) away from the Satanic Saraghina and the exhilarating motion of her rhumba; this first conflict between sexuality and discipline also takes place by the sea. In the opening dream, we glimpse on the beach two sexual images—a powerful horse and a giant rocket tower that Guido has constructed for his film. While this latter image implies that he is trying to create a phallic superstructure to solve his confusion, it also evokes the grounded flight imagery from Fellini’s airport dream. The implicit conflict is between faith in his own animal instincts and reliance on reason and technology. When the fall awakens Guido from his nightmare, he finds himself in an examination room, where he is probed by doctors and nurses and criticized by a writer who finds his script adolescent and confusing. Playing the critical Super-Ego throughout the film, this intellectual (like the priests and film crew) seriously inhibits Guido’s creativity and ultimately proves to be as superfluous as the rocket tower.

Figure 1: The Tomb as “Terminal Room with Glass Walls.” From the motion picture Fellini’s 8-½ through the courtesy of Avco Embassy Pictures Corp.

The key figure in Fellini’s dream is the Mongolian passenger, who has the “face of an emperor, of a prophet, of a saint, but also one of a gypsy, of a wayfarer, of a strolling player.” Fellini claims that his films always begin with “fantasy characters”—faces that have appeared to him in dreams or memories; he doesn’t care whether the face belongs to an actor or plumber, so long as it matches the image in his mind. Guido dramatizes this process when he examines hundreds of photographs, searching for faces to play his fantasy characters. In 8-½, the Mongolian passenger is transformed into Maurice the Magician, the partner of Maya the Seer, both of whom Guido has worked with in the circus. These strolling players represent for Guido positive archetypes of creativity. As Maurice, Fellini
Figure 2: Guido’s Flight Out of the Tunnel. From the motion picture Fellini’s 8-½, through the courtesy of Avco Embassy Pictures Corp.

Figure 3: The Short Flight Turns into an Anxiety Dream of Falling. From the motion picture Fellini’s 8-½ through the courtesy of Avco Embassy Pictures Corp.
Figure 4: Maurice the Magician Resembles the Mongolian in Fellini's Airport Dream. From the motion picture Fellini's 8½ through the courtesy of Avco Embassy Pictures Corp.

Figure 5: Maurice Triggers Guido's Epihany. From the motion picture Fellini's 8½ through the courtesy of Avco Embassy Pictures Corp.
casts Ian Dallas, who has slightly slanted eyes and the "strange, disturbing aristocratic glow" of the Mongolian (Figure 4).

The last two fantasies in which Guido resolves his confusion and fear are the sequences that bear the strongest connections with the airport dream. The embarrassed Guido is dragged to a press conference, where he is seated behind a huge table (like the Director in the Airport dream) and badgered by strangers, who drive him to flee under the table where he is trapped as in the opening nightmare. This time, instead of flying away, he shoots himself in the head. This suicidal fantasy makes him decide not to make the film. Then, as Guido sits in his car listening to the intellectual praising his decision and watching the dismantling of the rocket tower, the Magician quietly approaches, taps on the window, and says, "We're ready to begin." (Figures 5 and 6.) These events are related to Fellini's first dream sketch in which, in the lower left-hand corner, the Director sits at his desk facing the Mongolian while the other passengers wait in front of a window through which we see a bird-like plane ready to take off; all of the figures are faceless and blue, except for the Mongolian, whose face is glowing yellow. The right side of the drawing is dominated by a larger window through which we see a gigantic plane with a ladder

![Image](image-url)

**Figure 6:** The Entrapping Cars and the Flight Tower Appear in Both the Opening Nightmare and the Final Fantasy. From the motion picture Fellini's 8½ through the courtesy of Awco Embassy Pictures Corp.

leading to its entrance, which is reminiscent of Guido's rocket tower. The second drawing makes the polarity between the strong individual and the machine even sharper, for each is framed by a separate window; the fact that Fellini must choose between them is emphasized by the fact that we see only his controlling hand and the plaque labelling him "Direttore." (Fellini uses this dream motif of the escape flight again in Juliet of the Spirits [1965], when the heroine fantasizes about her grandfather's elopement with a circus bareback rider in a bird-like plane; in this version, the individualized gypsy saint, the animal instincts, and the machine are all harmoniously combined.) Fellini's verbal description of the Mongolian passenger in the airport dream also helps to explain this crucial moment in 8½ and the power

MARSHA KINDER
of the white magician-clown, just as the development of the cinematic sequence illuminates the potential power of this dream spirit.

He opposes my discomfort and very emotional insecurity with the definite, unequivocal reality of his arrival and presence...he just waits calmly with the confidence of someone identifying himself with an unavoidable event of destiny...I'm the one who must decide if he can enter or not. He did what he had to. Now it's up to me.

Instead of leading to more confusion as in the dream, in 8½ this moment triggers an epiphany that enables the director to accept all the conflicting parts of himself. As they descend from the tower, all of the characters from his memories, fantasies, and present experience enter his circus ring of love, which is led by the Magician. It is the presence of the Magician, with his "miserable dignity," that makes Guido's decision possible. Fellini's dream explains why this character (who otherwise seems very minor in the film) plays such a crucial role in the joyful finale. The recording and adaptation of this airport dream undoubtedly helped Fellini to reach this creative resolution.

BERGMAN'S RED ROOM

A film for me begins with something very vague...split second impressions that disappear as quickly as they come...Most of all, it is a brightly colored thread sticking out of the dark sack of the unconscious. If I begin to wind up this thread, and do it carefully, a complete film will emerge.4

Ingmar Bergman claims that Cries and Whispers (1972) was based on a germinal dream image that haunted him for over a year—four women in flowing white dresses moving through a red room in a grey morning light. His first step in adapting this dream image was to convert it into a narrative situation typical of his canon—a few characters in an isolated environment doing psychological violence to each other—and to focus on an archetypal rite of passage—"three women who are waiting for the fourth to die and who take turns to watch by her." This quoted description and those that follow are from Bergman's short story, which appeared in The New Yorker on October 21, 1972, and which marked the next stage of his secondary revision. While filling in the gaps and making the image more intelligible, this story also combined and further condensed the basic situations and characters from his earlier films, The Silence (1963) and Persona (1966).

While the four women can be seen as parts of a single personality, they also suggest figures from a family fairy tale—three sisters and a humble maid like Cinderella, who nobly mothers the dying one. As mothers, the other two sisters are cold and bitter, or selfish and unreliable like their own mother; the fathers are all cruel, weak or absent. As dreamer, Bergman apparently identifies most strongly with the artist and child, who are dying or already dead. The servant's daughter died at the age of three; and, although the dying artist is an adult, she is treated like a child and is absorbed in childhood memories. The cancer in her womb makes her belly swell up "as though she were in an advanced state of pregnancy." At the end of the film, when the servant is alone in the house, "faintly, very far away and scarcely discernible, she hears the child's crying." The infantile wish is at the center of the story is that the child escape the cries of pain and death and return to an idyllic environment where play, love, and harmony are nurtured by the intimate whispers.
of an ideal family. This narrative elaboration of the germinal dream image obviously draws on unconscious material that Bergman repeatedly uses in his works.

Bergman could not stop with the story, because the colors—red, white, and grey—that are essential to the dream image demand visual expression. *Cries and Whispers* is the first film in which Bergman used color with the richness and symbolic resonance that he had previously achieved with black and white. The film takes place in a house, a common dream environment for expressing one's life space. In describing its red rooms as the inside of the soul; Bergman draws a metaphor from the internal tissues of the body, reinforcing even further the interior nature of the action.

All our interiors are red, of various shades. Don't ask me why it must be so, because I don't know. I have puzzled over this myself, and each explanation has seemed more comical than the last. The bluntest but also the most valid is probably that the whole thing is something internal and that ever since my childhood I have pictured the inside of the soul as a moist membrane in shades of red.

The structure of the film is controlled by an inward movement representing psychic penetration. The film opens with a montage of exterior landscapes, then moves inside the house to external observation of the four women, before probing their subjective visions. After the opening sequence, there are only two external scenes—one a memory, and the other the final vision that is evoked in the servant's mind as she reads the journal of the dead artist. Each of the subjective sequences that reveal the minds of the four women is framed by red fades. Within the memory sequence, the dying artist returns to a childhood memory of watching a magic lantern show; this scene evokes one of Bergman's own famous recollections, which reveals an early association to the color red:

The devil was an early acquaintance, and in the child's mind there was a need to personify him. This is where my magic lantern came in... Red Riding Hood and the Wolf, and all the others. And the wolf was the Devil... with a tail and a gaping red mouth... a picture of wickedness and temptation on the flowered wall of the nursery (1960, p. xiv).

In Bergman's version of the fairy tale, the color red unites killer and victim as two faces of evil.

The symbolic use of red and white—as colors of interior exposure and external disguise—is primary in the film. The symbolic identity of the entire film as an inner experience is expressed concretely through the color red, which saturates the film from the opening frame to the closing fade. Besides the structural fades, red is used for coverings that invite penetration—the low-cut gown of the youngest sister, the bed covers, wallpaper, carpets, and draperies of the rooms. Before revealing the torment she suffers, the eldest sister moves into a room and stands in front of a red wall as the camera draws in for a tight close-up of her face. In contrast to red, which always draws one into pain and evil, white provides an innocent surface that displaces the torment. Only after a slow, elaborate process of removing her several layers of white garments does the eldest sister reveal her nakedness and self-hatred; her self-mutilation with a piece of glass draws from her sex the dark red blood, which stains the white sheets and flesh. In the funeral scene, the corpse is swathed in a white gown and nightcap that draw attention away from the yellowed skin, limp hair, and blistered mouth; she is laid to rest on a field of white sheets in a red room. The dark interiors are contrasted not only with the white fabrics that conceal interior weakness of the flesh and soul but also with the brightness of the few exterior scenes that project idyllic serenity. The beauty of the film's visual
surface (like the “flowered wall” of little Ingmar’s nursery) displaces the horror latent in its emotional center. Bergman insists:

Furniture, props, and other paraphernalia must be very exact, but we must be able to use them capriciously and just as they suit our purpose. But everything must be beautiful and harmonious. It must be the way it is in a dream: a thing is there because we desire it or need it, just for the moment.

In this interior film, all characters, environments, and props express parts of Bergman’s psyche as the tortured dreamer.

**BUÑUEL’S RITUAL ESCAPE ACT**

We do not have any dream reports from Luis Buñuel, whose reputation as a masterful ironist probably makes him less likely to reveal his psyche than Fellini or Bergman. Yet, he has insisted from the twenties that films are “the superior way of expressing the world of dreams, emotions and instincts” (1967, p. 175). In Penelope Gilliatt’s recent profile of Buñuel in *The New Yorker* (1977), he is quoted as saying: “The cinema is an involuntary imitation of dreams. It might have been invented to express the life of the unconscious, whose roots go so deep into poetry” (pp. 69–70). He thinks that of all means of expression, films function most like the imagination and thus reveal the human mind, which he assumes is filled with “dreams, and also the most everyday questions. ‘What time is it?’ ‘Do you want to eat?’ ” (Gilliatt, 1977, p. 70) That is why he is fascinated with the capacity of film to “create such moments of compressed ritual” (p. 54). Instead of developing conventional plots, his most recent films are filled with repetitive rituals of eating, sex and religion: *The Exterminating Angel, Belle Du Jour, The Milky Way, The Discreet Charm of the Bourgeoisie, The Phantom of Liberty, and That Obscure Object of Desire*.

Buñuel claims that “A film is the story of a dream. A dream recalled because of the realistic nature of the cinema” (Gilliatt, 1977, p. 53). In contrast to Fellini and Bergman, he stresses the narrative aspect of dreams and dream recall rather than the prevailing emotion or visual image as the prime resource for cinematic adaptation. Instead of starting with a specific face or environment, his films grow out of a word or abstract concept that demands experimentation with narrative structure. “When Jean Claude and I work together, we work always from a key word. ‘The Milky Way’ was ‘heresy’. ‘Discreet Charm’ was ‘repetition’. ‘Le Fantome de la Liberte’ was ‘hazard.’ ” (Gilliatt, 1977, p. 60). His rebellion against the well-made plot frequently takes the form of a series of inset stories or dreams-within-dreams that provide an escape, not only for the individual dreamer but also for the audience. This is the same strategy used in *Sherlock Junior* by Keaton, who has long been one of Buñuel’s idols, but he takes the technique much further. According to Freud, dreams-within-dreams usually express a true memory or highly charged fear, while the continued outer dream represents the wishes of the dreamer. By labelling it “only a dream” the censor manages to transform his most threatening material into a harmless fiction. Buñuel uses this strategy, particularly in *Discreet Charm*, which passes as a playful farce about dreams, but actually sneaks past his censors (in the audience and film industry) the harshest perceptions on man and society. He assumes that cinematic dreams can have a more powerful influence on the consciousness of the audience than any other medium.
Motion pictures act directly upon the spectator; they offer him concrete persons and things; they isolate him, through silence and darkness, from the usual psychological atmosphere. Because of all this, the cinema is capable of stirring the spectator as perhaps no other art. (1967, pp. 175-176)

In Buñuel's films there is no real escape. In his early documentary, *Los Hurdanos* (Land Without Bread, 1930), a smug narrator describes the horrors of poor villagers trapped in poverty and ignorance; at the end of the film he is eager to escape this misery, but he returns to a society that suffers the same economic injustice on a larger scale. This structural pattern is elaborated in *Exterminating Angel* (1962), where a group of aristocrats are mysteriously trapped at a dinner party and vow to give thanks to the Virgin if they ever escape. When the single virgin among them manages to release them through an absurd ritual of reversed repetition, they flock to a cathedral to fulfill their promise, and are merely trapped in a larger structure. When the audience leaves the theater after seeing this grim satire on civilized order, we enter a world trapped in precisely the same conventions. Buñuel implies it is impossible for anyone totally to escape these conventions or the structures of the subconscious. Ironically, this idea is developed most fully in his most radically experimental films, *The Discreet Charm* (1973) and *The Phantom of Liberty* (1974), but the former is more clearly centered on dreams.

Stressing the revolutionary nature of the subconscious, *The Discreet Charm* has an expansive structure opening outward, which defies narrow conventions, linear designs, and rational interpretations. The film is organized around recurring dinner parties, the social ritual that demonstrates how civilized people cope with their animal needs; yet, these eating rituals are repeatedly interrupted by sex, violence, and dreams—the main preoccupations of the subconscious.

In this film, the lines between dream, inset story, theater, and bizarre coincidence soon break down. After telling an elaborate dream about his own death, a young soldier is asked to tell another that is apparently well known among his colleagues; as if his dream were narratively prophetic, we never see him again nor hear his tale. In a restaurant, a young stranger approaches three beautiful women and tells them a story from his childhood, in which he is led by his mother's ghost to poison his father; the women avoid responding to the horror of his story or the oddity of his approach by becoming involved in the banal absurdity of a restaurant out of coffee, tea, and milk. A woman fetching a priest for a dying man promises to tell the story of why she hates Jesus, but this blasphemy is interrupted by the confession of the dying sinner, who reveals he has murdered his employers. The victims turn out to be the parents of his confessor, who, after absolving the storyteller of his sins, shoots the dying killer. Perhaps this bizarre coincidence suggests one good reason to hate Jesus. At one of the many disastrous dinner parties, the guests discover that the chicken is a theatrical prop and that they are on stage in front of a hostile audience without knowing their lines; they are saved by Senechal, who awakens from this nightmare just in time to dress for the actual party, which turns out to be more elegant but also more violent, for one of the guests is murdered. Again, Buñuel allows the diners to escape by cutting to another guest awakening in bed and telling his wife, “I was dreaming, no I was dreaming that Senechal was dreaming.” This patterning of incidents seems totally random, except in the light of such internal explanatory remarks, which ironically seem just as arbitrary and thereby compromise all similar efforts at interpretation by nervous critical viewers. The outer dreams, like critical revision, provide short-lived escapes into realities that may prove even more threatening than the inset nightmare.

Despite the disruptive narrative structure, *Discreet Charm* repeatedly returns to six bourgeois characters, dressed in modish clothes, strolling down a
country road that apparently goes nowhere. These characters are puppets
manipulated by Buñuel, the master dreamer, who handles them as easily as his
theatrical props and sets. He uses them to suggest that dreaming is an endless
tripping; yet despite the expansive variety of the random realities we may encounter
along the way, there is always something terrifyingly familiar about the terrain.
Despite their indomitable resilience and discreet charm, these characters never
escape their anarchistic nature.

A COMPARISON OF DREAM STYLES

The term surrealism, which has come to represent the codified dream style in
the arts, is inadequate to characterize the stylistic variations of Fellini, Bergman and
Buñuel. In fact, it is only Buñuel who has been explicitly connected with the
surrealist movement, which he helped introduce to cinema in 1928 with Un Chien
Andalou, made in collaboration with the noted surrealist painter Salvador Dalí.
Buñuel claims to have learned from surrealism, not so much how to portray the
unreal but "to suppose thought and sympathy are moral paths that men cannot
refuse to take. It taught me that man isn’t nature. A marvellous poetic stride
forward." Although he claimed in the program notes to Un Chien Andalou that
"Nothing, in the film, symbolizes anything," he granted that "the only method
of investigation of the symbols would be, perhaps, psychoanalysis." Surrealism led
him to accept Freud as his Master, but without relinquishing his own rebellious
spirit.

Freud himself was immensely important to the Surrealists. A great prophet. Though I
still don't want to be told who my mother is, who my father is. I know this. I prefer to
dream about who might be my sister (Gilliatt, 1977, p. 63).

In fact, Buñuel preferred to see Freud as a Great Dada figure. "Our wish was to
honor the claims of the unconscious, and I suppose Freud was our patron saint"
(Gilliatt, 1977, p. 57). Although he has always retained the anarchic spirit of dada
and surrealism, these aesthetic terms do not really delineate the unique qualities of
his style.

Since there is a large range of variation within the dream adaptations of
Fellini, Bergman, and Buñuel, then presumably there might also exist similar
stylistic variations in the actual dreams on which they are based. Fellini’s cinematic
dreams are either anxiety attacks or wish fulfillments. In his comic vision, he uses
them as narcissistic play in an aesthetic sense; his dreams alternately soar up and
down, in and out, or move in circles like a circus parade of the self, with his own ego
at the center. Bergman’s cinematic dreams are revelations. In his tragic vision, he
uses them as exorcism in a psychological and religious sense; his dreams move
inward structurally, plunging and surfacing to reveal inner landscapes of the secret
self. Buñuel's cinematic dreams are nightmare traps. In his satiric vision, he uses
them as subversive anxiety in a political sense; his dreams move outward
structurally, defying conventions and pursuing the phantom of liberty.

The range of stylistic variation is expanded if we consider those filmmakers
who have been influenced by Fellini, Bergman, and Buñuel. Paul Mazursky’s
automobile dream (in this volume) is strikingly similar to the opening traffic jam
nightmare in 8½ and to Fellini’s airport dream. Mazursky acknowledged the
influence in Alex in Wonderland by having Fellini fly through the dreams of the
protagonist, who is also a middle-aged filmmaker worried about waning creative
powers. One wonders whether Mazursky's dream has been influenced by Fellini's films, or whether the fact that they have such similar dreams makes him more receptive to Fellini's cinematic adaptations. The interpretation of influences also occurs in Robert Altman's Three Women, which was based on one of his own dreams but which bears striking similarities with Bergman's Persona and Cries and Whispers. Providence, written by David Mercer and directed by Alain Resnais, works with a situation that is similar to the one in 8½—a narcissistic artist who uses the creative process as a means of fighting old age and death and projects part of himself onto those around him; but the film's ironic tone and radical play with narrative structure are closer to Buñuel. The atmospheric dreams of Carlos Saura—especially in Cria Cuervos—combine Buñuel's terrain with Bergman's emotional intensity. Istvan Szabo elaborates on the collective dream sequence in Buñuel's Exterminating Angel and uses it as the structural framework for his masterful 25 Fireman's Street.

The stylistic range is even greater if we consider those filmmakers who have broken entirely with Freudian tradition in order to portray the visionary dream. Werner Herzog's dream sequences are always mysterious and uniquely powerful—especially in Kasper Hauser where they are a source of higher knowledge. The Australian director Peter Weir explores Aboriginal Dream Time in The Last Wave, where the brilliant dream sequences depend on subtle patterns of visual and audio detail and have the power of prophecy; the effect lingers in Picnic at Hanging Rock. Though not dealing strictly with dreams, Nicolas Roeg's The Man Who Fell to Earth is prophetic in demonstrating how the consciousness of an innocent outsider (alien David Bowie) becomes polluted by media images. All of Roeg's films, like those of Herzog and Weir, expand the imprinting power of the cinematic medium by confronting us with powerful images and unconventional structures that fuse present, past, and future and force us to see in new ways.

In contrast with dreamers from the past, we are now experiencing an acceleration in the rate of change by which we reprogram our consciousness—a change that is probably due to the imprinting power of the mass media. Ironically the generation gaps multiply as our communications systems advance. Unlike most images being projected on movie screens and broadcast over the airwaves, the dream reports and adaptations of filmmakers like Fellini, Bergman, and Buñuel, and the other artists mentioned or represented in this volume seek to develop a powerful personal mythology that can creatively transform the images present in our cultural dreampool in order to expand our vision and offer new alternatives to future generations.

REFERENCE NOTES

1. For a theoretical discussion of the relationship between the dreaming and film viewing experiences (which is somewhat limited by its exclusive reliance on Freudian dream theory), see Metz (1976).
3. Some of the ideas in this section on Bergman appear in Chapter 2 of Self & Cinema (Houston & Kinder, 1980).
5. Buñuel has worked with Jean-Claude Carriere on his last eight scripts.
6. For a fuller discussion of Three Women and Providence, see Kinder (1977).
7. For a fuller discussion of the dream sequences in the films of Carlos Saura, see Kinder (1979).
8. For a fuller discussion of the use of dreams in the films of Istvan Szabo, see Jaehne (1978).

MARSHA KINDER
REFERENCES

Kinder, M. Carlos Saura: The political development of individual consciousness. Film Quarterly, Spring, 1979, 32 (3), 14–25.
Several years ago I had this dream. It impressed me enough at the time for me to still have a strong sense about it. It was an “ah ha! so that’s what it’s all about!” kind of dream.

I am in a kind of limbo. Before/below me at a distance of a few feet is a perfectly smooth, transparent plane extending off in all directions infinitely. It is covered with a rich texture of crisp black calligraphy on the order of a Mark Tobey painting, but with characters somewhat more like pictographs or an unknown alphabet.

I can see through that plane in the spaces between the marks. Behind it at an unknown distance is another plane parallel to the first. This second plane may be just a few feet beyond or it may be miles away. I cannot tell. The surface is not definite. It is a mottled brown-grey with subtle shadings of other colors randomly shifting. I am uncertain whether it is liquid, gaseous, or what. But I know it is deep, heavy. It moves past from my lower left to upper right, a vast oceanic river. It is awesome, enormous, unstoppable. It has the scale that calls for a rumbling roar, a Niagara. It is silent.

I understand what I see. The transparent plane with markings is logical, intellectual, verbal thought. The vast moving background is the unconscious. The two planes are the contents of the two hemispheres of the brain.

I understand now.
And I know I am dreaming.
Film: In “White in Bad Light”:
A man goes to the door of the “Beloved”.
KNOCK. KNOCK.
“Who’s there?” asks the voice from within.
“It’s me,” says the man.
“There’s no room here for you and me.”
The man is turned away from the door.
(Then the main body of the film takes place. After many experiences the man returns to the door.)
KNOCK. KNOCK.
“Who’s there? asks the voice from within.
“It’s you,” says the man.
“Come in,” and the door opens wide for him.

Dream: (Summer ’88) I’m alone thinking about architecture on top of a high rise building that’s under construction. When I try to climb down, the ladder becomes so shaky that I’m stranded. Some lady appears, holding the ladder. Just as I reach a new understanding of my need for women... (wake)

“EVERYWHERE I FIND MYSELF IN OVERSIZED BUILDINGS.”

Dream: Apartment hunting in Venice. I go into a quaint cottage and find a huge abandoned warehouse. I wander in and when I get used to the dark, I see giant rusty pizza ovens. A few yards away there are a group of midgets, in another corner there are businessmen wearing black gloves. Behind an old wall, policemen are playing handball. I knew there were unlimited groupings in the endless space...
*My first nightmare: (Filmed in "Ethero") I'm six or seven years old lying on the ground. Standing over me are three dark figures, a kidnapper, a murderer, and a ?They represent the three evils, and they are looking over me. (wake)

Film: In "Ethero" the main character runs through a corridor trying to get out. He tries doors and finds endless numbers of rooms. In one room he sees himself as a little boy having a nightmare.*In another he becomes distracted by a woman who makes love to him. In a third a middle-class family is busy watching T.V. He is caught in a maze of doors, halls and intersections...

Film: In "White in Bad Light": A toilet crumbles in the middle of the desert. Out of the hole that remains come rainbows reptiles rituals.

Dream: I'm wandering around a huge warehouse with no one around. I find an industrial elevator and hop on, standing on one foot. It goes higher and higher, past the upper levels. I know that I must jump off, but then I see details of the skylight: "Wow, these are designed by Frank Lloyd Wright." Suddenly I realize that I'm past the point of no return and still going strong. I'm above the skylight. Very bright: White light, terrified!(wake)
FLIGHT

The camera is placed in the brain, so to speak, and follows the flow of the mind. It starts from the chaos of everyday events, goes through the more subtle levels of intuition, dreams, mythology and ideas, and finally leads to a level transcending all thoughts—pure awareness. *

HOW THE FILM CAME TO BE

My head speaks:
Images came from the widest possible assortment of experiences from daily life, dreams, intuition and even “found-footage.” The attitude in all cases was to record, rather than to invent. Sometimes the simplest images required complex special effects—roto-scoping, “glass-shots”, optical printer, and miniatures.

Connections between images follow the thought-patterns of a meditator. In the beginning there are fast “cuts” representing the way a mind hops, skips and jumps, often with no apparent logic. Gradually there are long lap-dissolves representing the slower out-flow of images as the mind settles into the realm of intuition, dreams, mythology and ideas. At the end there are moments between images when nothing is seen, just black leader. This represents a silent mind that is producing no thoughts. It is experiencing pure awareness.

An example of how the Siddhis affected my dream-awareness:
*Dream:* L. was kissing me and transmitting power through my lips to “open my heart”. I could feel cords of energy going through my lips to my heart. It was such a wonderful realization that I wanted to confirm the experience and complete the symmetry in the waking state by kissing her back. I told myself to wake up.

(wake)
OF IDEAS

My heart speaks:

Structure of the film.
It all came together on an advanced meditation course in Israel. Through the T.M. Sidhis program I was initiated into the Yoga Sutras. During the course I would often think about the collection of film sequences and what to do with them. Because they came from dreams and intuitions they seemed so sacred and elusive that I did not want to handle them with my normal logic.

Then it hit me. My attitude towards the filmed sequences could be exactly like the attitude I've had towards my own thoughts during the past eleven years of meditation: Be a detached observer and just watch the play of images become increasingly subtle.

So when I came home from the course I edited the sequences following this direction towards subtlety.

The footage with everyday images went first, succeeded by the spacey images that came from dreams and intuition. Towards the end black leader was used to represent times during meditation when there are no thoughts, just awareness.

A sound representing a mantra was added depicting the vehicle used to experience the subtle levels of the mind.

And finally, a picture of an altar was used at the beginning and end of the film as a way of making an accessible package for audiences.

The film had evolved into a reconstruction of a meditation session.

*Pure awareness: (Samadhi) States of mind in which the individual self dissolves into the Universal Self and consciousness is unbounded by time and space.
August, 1977 — Fishing in the dream pool the other night I brought back (caught) the name of a sad looking clown: Nato Mtsh. The name doesn’t ring any particular bells with me... but it sounds good.
I dream. I always dream—it's natural—and it's always in color. I mention this aspect of dreaming in color because I often heard that one dreams only in black and white. I have never, but never dreamt in black and white; all my dreams are in color. The colors are brilliant, almost too brilliant for nature—the grass almost too green for ordinary landscape, and color of the sea or lake blue, but the blue color you sometimes find in the paintings of the Fauves.

When I say that I always dream—by that I mean that for instance if I am sitting up in a chair—if I close my eyes just for a moment to rest—I am immediately in some wild situation that has nothing to do with either what I am involved in at the moment, nor am I anywhere near to a place that would make geographic sense. Dreaming happens to me anywhere—while I am listening to a rather boring speaker, or even when I am not bored at the theatre. If I would at any moment let myself close my eyes, I would immediately dream, or even in a barber's chair, if I let myself relax.

In my dreams quite often I am aware that I am dreaming, so whatever I do in the dream would have no serious consequence so I can get away with it. Therefore I do something I would never do in real life. For instance, throwing a rock into a large store window, or I dream I am behind people on a busy street and I shove them to get through or I just shove them, or I am in a department store and I pick things up—anything I want—my intent being to just walk out with whatever I desire. However, when I am at the moment of bringing this act to completion, I almost always wake up. This leaves me with a large frustration that I could not complete the action, which would give me a vicarious pleasure out of this kind of adventure or mischief. In my semi-conscious state of waking up, however, I decide whether the dream is extremely important to finish or is particularly fun; if so, I can almost always continue the dream if I decide to fall asleep again.
I guess, too, like everybody else, I have dreams of running, jumping, running after trains—sometimes catching them—sometimes missing the train or sometimes have to find myself another mode of transportation like suddenly being able to fly and then arriving at the place I started out to find.

Climbing mountains or just walls is another of my popular dreams—sometimes I make it, sometimes not—often the hills or mountains get straight as I am approaching the top.

Travelling is another type of dream that I often have, cities that I have lived in or just visited I will re-visit in my dreams. But in this trip large portions of the city will now look so different that I will be trying to get myself back to a place that I am more familiar with.

Animals also are part of my dreams—chasing me—and I am fighting them off. The animals often are rather strange; by that I mean they will be half animal and the other may be paper or cloth; half of the tiger will be a block long and made out of papier-maché.

So these are the various types of dreams I generally have.

There is a specific dream I would like to zero-in on, however, as I came to relate this dream to my work. Sometimes as is only natural these thoughts that occur in sleep become springboards that I can take and work from and create with, such was the case with the film Accident. I was being chased by a rather large dog, not mean or angry but the size of the dog frightened me and I started to run. As I was running I kept turning back to see where the dog was—sometimes the dog was not there and I would ease up on my running—and then again he would appear and I would be running from him. As we were running down the street, we turned a corner and to my surprise the dog was in front of me and I was running to catch up with him as if in a race. We finally were squaring off and I was just behind the hind legs ready to catch up. I then overcame the body of the dog and I won the race. But, the interesting and astounding thing was that while we were racing, I could see as my body passed the various sections of the dog's body that they disappeared completely (though the rest of him that was left was still in the motion of running) till finally I overcame him completely and was running alone.

The movement of running and the section by section disappearance of the dog interested me—I wanted to remember the dream—to hold on to it so it could manifest itself into a reality I could use in my films.

As with such thoughts I let them lie and don't pound them to death trying to think up things to do with them. I let them pop up unexpected and if an idea is good it is bound to manifest itself in a useful way. So sometime later when I was thinking of beginning a new project, I decided to draw the dog I saw in my sleep. I sat down in my studio, took a fresh piece of animation paper and started to draw the dog, decided to change the dog (as is always true at the beginning of a project, one has to make many changes). As I was making these changes, I naturally used an eraser—by accident it smudged the paper and the drawing—then bingo! The light went on! Thus through an “accident” the film Accident was created. I captured the movement and the disappearance that occurred in my dream.
THE ART OF THE BRAIN: DYNAMICS OF DREAMS

by Vlada Petric

To sleep—perchance to dream: ay, there’s the rub.

Hamlet (III, i, 65)

The human brain is an arsenal of memories, generator of actions, controller of behavior, producer of dreams, and, most of all, ultimate source of the intellect. It supplies us with information about almost everything—except its own complex structure and function. Although it is the most superior product of organic matter, consciousness seems incapable of focusing on its own physical base. Social, psychological, and religious taboos have restricted scientific investigation of the human brain, retaining its association with spiritual life as an extension of divine power. Ancient philosophers found the brain to be as enigmatic as the universe; they assumed that intensive observation of the cosmos must illuminate the microcosm in the human head. Now with the aid of sophisticated technical facilities, contemporary brain science is exploring new ways of understanding the intrinsic physiological forces that activate mechanisms of the brain in both waking and sleeping states.

AN EXHIBIT ABOUT BRAIN STRUCTURE AND FUNCTION

Dreamstage, An Experimental Portrait of the Sleeping Brain, was an exhibition organized in the Carpenter Center for the Visual Arts at Harvard University, April 23 through May 22, 1977, which is now travelling around the world. Initiated by Dr. Allan Hobson, Head of the Laboratory of Neurophysiology, Department of Psychiatry, Harvard Medical School, the project also involved several artists—filmmaker Theodore Spagna, composer Paul Earls, and designers Toshi Katayama and Roger Brandenberg-Horn, who installed the show. According to Dr. Hobson, the primary intention of the exhibit was to develop “vehicles to communicate what is known about brain structure and function in ways that will be understandable to the general adult public.” Since “there is probably no organ of the body about which the public has so vague an image,” Hobson and his collaborators decided to use a live human being plus all available technology to illustrate the neurology of waking, sleeping, and particularly dreaming, so that laymen could grasp “the idea that a dream is the product of a regularly recurring brain mode, which can be utilized to lead the observer from his own experience to
his own neurobiology." The display was supplemented by an excellent catalogue
produced by Allan Hobson, Ted Spagna, Ned Putnam, Stephen Weinstei, and
Toshi Katayama), which provides basic information about brain science in a
comprehensive and highly professional way and in a presentation that employs
beautiful graphics.

*Dreamstage* could serve as a model for future scientific exhibitions,
especially those dealing with the rapidly expanded field of brain science. It was
actually the first public exhibition to inform large audiences about brain research,
and its great success (over 10,000 visitors in 30 days) unequivocally proved the
need for a permanent exhibition of this kind in a science museum. Ironically, while
many important exhibitions of space explorations exist in planetaria around the
world, there is still no place where people can learn how their own brains work in
waking, sleeping, and dreaming states—processes that make all other human
discoveries possible.

In spite of all its scientific features, *Dreamstage* was more a "show" than a
scholarly exhibition, since its major attraction was a sleeping person isolated in a
glass chamber and connected to an instrumentation center that translated the
activity of his sleeping brain into a light show, accompanied by electronic music.
Realizing that he risked oversimplifying the scientific facts for the sake of clarity,
Hobson nevertheless chose to make his exhibit accessible and appealing to a mass
audience. This choice is particularly clear when one compares the actual exhibit
with Hobson's original proposal, only 40% of which was realized due to financial
and technical limitations.

The title *Dreamstage* was originally meant to carry four connotations: (a) the
"platform" or "setting" upon which dreams are displayed; (b) the state of sleep
during which dreaming occurs; (c) the infancy of brain science; and (d) the theatrical
nature of the entire event. Yet, as realized, the project seemed to emphasize only
the first connotation. Electronic technology was used primarily to transmit signals of
the brain's activity during sleep into audiovisual effects. The aesthetic nature of this
transmission was demonstrated by the connection of prerecorded musical tapes
(composed by Paul Earls) to the central brain waves. Not only did various musical
segments sound according to various brain wave impulses, but also the strength of
the impulses determined the dynamic intensity of the sound. Thus, it seems more
accurate to name this show *Sleepstage*, since all the auditory and visual illustrations
were related to sleeping rather than dreaming. Unfortunately, the demonstration of
how dreams might influence artistic creation and contribute to post-dormant
behavior was not included in the show as was initially planned.

In Hobson's original proposal, he planned to divide the exhibition locale into
four areas, each furnished with specific data generated from a sleeping person and
presented in a coordinated multimedia display. The material in these four subsets
was to be arranged and classified by the subject's biological clock, as shown in Table
1.

In the actual exhibit, the space was divided into only two separate areas: a
*light space* with predominantly verbal explanations displayed on the walls and
supported by schema and diagrams; and a *dark space* containing nonverbal data
and a sleeping man in the isolated chamber visible through a one-way mirror (see
Figure 1). As one might have guessed, the *dark space* attracted the most visitors
who spent a great deal of time observing the sleeping man and watching the
projected images on the wall. However, once having been intrigued by the output of
the sleeping man whose scalp was connected by electrodes through an electro-
encephalograph to a laser projector, their eyes were drawn to the rotating slide
projections of microscopically photographed brain cells, and to the projected stills
showing the various body positions of the dormant model at 15-minute intervals.
Ultimately, the visitors could discover the structural relationship between the
rhythm of the music and the oscillations of the multi-colored laser electro-

VLADA PETRIC
Table 1: Four Areas of Data Display

Physiological Data

The electrically recordable brain, muscle, and eye events of the sleep cycle are demonstrated on-line from the sleeping subject and from tape-recording samples. Comparable data from the cat are displayed together with single neuron signals. Responses to visual stimuli and motor events are shown.

The displays consist of laboratory recorders (paper and oscilloscopic) and of laser mediated amplification on walls or phosphorescent panels. Excitation and inhibition are demonstrated through change in rate, color, sound intensity of the action potential data.

Psychological Data

The sequence of mental emotional states accompanying the cycle are demonstrated by transcaps of tape-recorded reports, some of which are also broadcast by audioamplification.

The contrast between waking and dreaming perception is illustrated by art material and photography. Movement in waking is contrasted with the paralysis of the dream.

Anatomy

The location of the brain in the subject's head is indicated by X-Ray. The brain regions involved in control of the sleep cycle are illustrated by slides of the surface features and cellular detail. The single neurone is shown to be the structural unit of the system. The axon and types of processes are illustrated.

The synapse is shown to be the site of neurotransmission and/or neuromodulation in relation to the changes in the sleep cycle.

Behavioral Data

Time Lapse Photography shows the sequence of postural changes in sleep through still collages and lap-dissolve sleep reanimation.

Video shows details of the sleeping subject on-line. Aspects of his daily waking activity are interspersed from tape for contrast.

Film shows particular aspects of the cycle in slow-motion for emphasis of particular sensor-motor events. The relationship of human sleep to that of other mammals is established.
encephalograms projected on the dark walls; on the other hand, the audiovisual materialization of the brain activity also enhanced, perhaps unnecessarily, the mystery of human sleep.

It was both exciting and instructive to see electrical impulses, projected via optical laser scanners, originate from the heart, central brain, posterior brain, muscles, left eye and right eye, of an ostensibly motionless sleeper. (During sleep, muscles produce electro waves in a nonmotoric way.) The multicolored visual manifestation, like a symphony of vibrating light patterns combined with music “synthesized” by the sleeper’s brain, revealed a continual inner movement in the sleeper’s brain. However, it was not clear which of the projected laser waves corresponded to the eye movement (EOG), which to the muscle tone (EMG), and which to the various cardiac activities (EKG). Also, the relationship between the visual and auditory sensations produced by the sleeper’s brain was not sufficiently developed and documented in Dreamstage. It would be instructive to see how two or more scintillating patterns powered by the sleeper’s inner activities relate to each other in their ever-changing intensity and oscillation during the various stages of sleeping and dreaming.

VLADA PETRIC
The choice of pattern and color for each specific graph also suggested that the show was conceived primarily as a theatrical or aesthetic event. No matter how arbitrary each decision may have been, it would have been useful to know why a certain color was associated with a specific brain wave. Since this aspect of presentation seemed to be quite random, it did not illuminate the relationship between the changing impulses and the psychological content of the sleeping man’s dreams. Equally ambiguous was the use of the brain as a “synthesizer” of prerecorded musical motifs. There are some indications that, by means of a computer, it is possible to explain how a musical segment becomes activated by brain energy, especially if the segments are linked with specific wave lengths during dreaming. But how it functions on both the biological and psychosomatic levels is still an enigma. Do certain rhythmic patterns repeat themselves during a single dream, and under what circumstances do they replace each other? Does the “melody” of such a musical collage, “conducted” by a sleeping brain, have any structural unity, or is it only mechanically related to the electrical impulses? How does it all relate to the basic emotional excitement stimulated by the dream? Could the scientists explain how the actual selection of musical segments is made by the electrical activity of the sleeping brain? What principles, if any, are followed in transforming electrical impulses into specific rhythm beats, which, ineluctably, affect the composition of music as finally performed? Most importantly, how does the overall structure of such synthesized music relate to the content of dreams—a relationship that could be expanded upon by an examination of the dreamer’s recollections of the dreamed event and its comparison to the electroencephalographic patterns?

Dreamstage implicitly suggests that the sleeping brain is only partially responsible for the visual and auditory display in the sense that the brain provided the energy through its electrical wave-lengths which activated the visual and auditory patterns. The composer of the musical segments connected to the impulses, as well as the designer who assigned colors to brain waves, are, of course, responsible for such activation. Yet, a more remote contribution comes from the stage of sleep and the emotional content and type of dream. In other words, the composer and designer provided the ingredients, and the brain, the energy; but the architecture of the display came from the mood created by the content of the dream, which, through the sleeping brain, “synthesizes” inchoate sensorimotor signals sent up to the forebrain from the brain stem. What the actual connection is between all these phenomena remains to be revealed by further research. If the imagination is permitted to anticipate the evolution of brain science, perhaps in the future there will be “brain music,” “brain video,” and “brain cinema,” as new forms of “brain art.” But even at this stage of research, we can see the human brain from a new perspective: as painter, composer and filmmaker.

As already stated, Dreamstage at Harvard presented only the anatomical and physiological data with a small portion of behavioral information supported by time lapse photographs illustrating the physical connection between the four stages of sleep and the positions of a sleeper’s body (see Figure 2). Unfortunately, the live TV image of the sleeping person appeared blurred on the screen and the stage of sleep transmitted was not announced, making it difficult for the audience to correlate the stages of sleep with the physical position of the model. The improvement of shooting technology will permit the observers to witness a correlation between the position of the sleeper’s body and the content of his dream. (For example, had the model been dreaming of flying or running, would his arms and legs in any way tend to change position?) Is there any physical manifestation of the interior drama occurring in the mind of the sleeper that is visible to the audience?

What electronic technology failed to capture in the brain structure, the microscopic photo-camera did with fascinating results. The three-slide multicolor projections of the microscopic organization of brain cell structure (which irresistibly
Figure 2: Three frames from a 15-Minute Interval Time-Lapse Study of a Sleeping Couple.
Photo Credit: Theodore Spagna
reminds the viewer of the most sophisticated abstract painting) formed a unique “neuronal landscape.” This was probably the most “artistic” realization of brain science demonstrated in Dreamstage. Ragnar Karlstrom, who conceived the three-slide projections, stated that his photographs showed how “through scientific exploration, perceiving the essence of life can be an elemental conceptual experience.”

I was disappointed that the proposed dream-film was not included in the exhibition because it would demonstrate that cinema is the medium that can revive the dream experience in the most kinesthetic manner. Numerous specific cinematic devices could be used for the sensorial visualization of dream processes. The idea of using film in presenting visual and sensorimotor activation during dreaming should be further explored through the close cooperation of scientists and filmmakers. More than in any other art form, cinema reflects, in a parallel way to dreams, a four-dimensional experience of time and space, both in a narrative and a physiological sense. The unconscious reaction of the sleeping body, that is, its behavioral activity during sleep, is, in many respects, similar to the response of the body during film viewing. This activity proves to be more physiological than in any other art, including television. Hence, there are three points of striking similarity between dreams and cinema. First, film is capable of visualizing the bizarre imagery and illogical combinations of objects-events, presenting them on the screen as an extraordinary but credible world. The second similarity is that cinema, like dreams, can subvert the notion of time and space in the most dynamic and revealing ways. Finally, and most significantly, cinema has the power to stimulate a unique sensorimotor experience that is akin to what the dreamer experiences in his most exciting dreams. It would be interesting to know what responses would be registered if electrodes were connected to the film viewers’ neural centers? What type of EKG would be obtained? Would it differ for various films and, especially, film genres? How would a specific film stimulate the brain activity and the corresponding neurocenters in different audiences, adults and children, intellectuals and general moviegoers? How would the electroencephalographs registered during film viewing relate to those of a specific dream content as compared with a film content?

The psychological data were also insufficiently presented in Dreamstage, in spite of the fact that the initial project emphasized emotional states of the dreamer. The idea was to use all sorts of artistic “documents” of the dream experience, not only in music but also in painting, theater, and poetry, to demonstrate “the contrast between waking and dreaming perception.” This seems to be an essential aspect of a show like Dreamstage. Combined with film, video, photography, music, kinetic art, and even dance, the “art material” could be presented as the materialization of specific psychic visions and dream imageries conveyed in an artistic form and shaped according to subconscious patterns. If one speaks of what dreams can contribute to a waking existence, then it is certainly not fortune-telling—not even a resolution of psychic crises but a stimulation of creative activity. This is why Hobson’s initial proposal for the exhibition is important: it includes psychological and behavioral sections consisting of various artistic presentations of the brain as human organ, children’s drawings of the brain, dream statements made in literary and psychiatric sources, taped reports and symbolic interpretations of dreams, poetry readings, surrealist prints, photographs, films, and electronic music. In the given circumstances, however, Hobson was forced to decide either to pin down dreams, at all costs, or to demonstrate scientifically the dynamism of the sleeping brain. He opted for the latter and, to no one’s surprise, the dreams got away.

My desire to see Hobson’s original Dreamstage proposal realized was strengthened by my reading of his paper, “The Brain as a Dream State Generator: An Activation-Synthesis Hypothesis of the Dream Process” (delivered at the University of Edinburgh on April 23, 1975 and published in 1977), which was
derived from research done in collaboration with Robert W. McCarley at the Laboratory of Neurophysiology, Harvard Medical School, and which has tremendously important implications for dream aesthetics. The most important conclusion in this paper is one that considerably expands the activation-synthesis concept according to which the activated brain generates its own information during dreaming by a pontine brainstem mechanism, which is most likely responsible for the generation of REM sleep. Hobson and McCarley hypothesize that this internally generated sensorimotor information, which is partially random and partially specific, is related to stored sensorimotor data in the synthesis of dream content. This hypothesis suggests that some situations in our dreams draw from our daily experiences, while some are “induced” by neural information. Such a combination creates many “illogical” and “unreal” dream images. Hobson-McCarley’s hypothesis opens a new possibility of explaining the surreal aspect of our dreams, especially their spatiotemporal shifts, and directly challenges the Freudian explanation of the dream process. Hobson and McCarley define the dreaming sleep state as primarily a synthetic constructive process.

There is, therefore, no need to postulate either a censor or an information degrading process working at the censor’s behest [i.e., the sleeper’s subconsciousness]. The dream content elaborated by the forebrain may include conflictingly charged memories, but even this aspect of dream construction is seen as synthetic and transparent, rather than degradative and opaque. (“The Brain as a Dream-State Generator”)

The grammar of the brain, after all, is a grammar of coded electrical signals. In waking, such codes copy the external world and determine our record of the outside world in the memory. If, as appears to be the case in dreaming sleep, similar codes are generated by auto-activation of brain structures, they will be read with inference to memory. As the result of this interaction, completely new codes can and probably do continually arise from the depth of our brains in dreaming sleep.

The brain structures concerned with coordinating head, eye, and body positions during waking become active during dreaming sleep, indicating that the information generated during the waking by those structures might contribute, in a direct and specific way, to the spatial aspects of dream sensations, which have the greatest impact on the dreamer. For example, our common “flying dreams may be a logical, direct and unsymbolic (my italics) way of synthesizing information generated endogenously by the vestibular system.” In view of this explanation, “it seems gratuitous to ‘interpret’ the sensual flying dreams as sexual.” Following this scientific path of reasoning about the “illogical” and “bizarre” formation of dreams, Hobson and McCarley state that “symbol formation and the often bizarre juxtaposition of sensations in the dream may be a reflection of the heightened degree of simultaneous activation of multiple sensory channels in dreaming as compared with waking.” Conversely, the lack of the rational filtering of the number of sensations (which we automatically do in our waking state) is the real source of the surreal formation of our dreams. Hence, Hobson and McCarley conclude that some of the “bizarre” formal features of the dream may directly reflect the properties of the brain stem neuronal generator mechanism; they seriously question the symbolic transformation of the supposed ideational basis of many dreams and their significance in our waking life. If we recall how odd and fantastic dreams are often “read,” and if we now take into consideration the possibility that their structure is not generated (to a great extent) from our subconscious and repressed desires, but from the physiological mechanisms, it becomes clear what effect this hypothesis can have on dream theory and the relationship between dreaming and artistic creation.

Although their new concept cannot yet account for the emotional aspects of the dream experience, “it assumes that these are produced by the activation of brain

VLADA PETRIC
regions subserving effects in parallel with activation of the better known sensorimotor pathways.” It should be emphasized that this concept of dreams does not exclude the interpretative meaning of dreams. It only encourages (a) a more direct route to their acquisition than anamnesis via free association; (b) a less complex approach to their interpretation than conversion from manifest to latent content; and (c) a broader view of their use in therapy than that provided by the transference form of reference. Studying the quantitative correlation between eye movement (REM) intensity and dream experience, Hobson and McCarley defined the dream process “as having a sleep maintenance mechanism built into its physiological substrate rather than a sleep guardian function operating at the psychological level.”

The results of Hobson’s and McCarley’s experiments and research led them to conclude that “the primary motivating force for dreaming is not essentially psychological but physiological, since the time of occurrence and duration of dreaming are quite constant, suggesting a preprogrammed, neurally determined genesis.” Hobson and McCarley assert that specific stimuli for dream imagery appear to arise intracerebrally, though initially, in the pontine stem and, secondarily, in the cognitive areas of the cerebrum. This discovery challenges psychoanalytically motivated “theories” of dreams, providing at the same time a completely new understanding of the dream experience, its hallucinoid character, visual vividness, and its “bizarre” formation due to such spatiotemporal distortions as condensation, discontinuity, blocking, acceleration, deceleration, and, especially, delusional acceptance of the phenomena as “real” at the time of their occurrence.

This discovery, of course, does not mean that a retroactive analysis of dreams cannot be used as a strategy for reducing our psychic tension and as a means of gaining some knowledge about ourselves. The interrelationship between dreams and post-dreaming human behavior remains to be examined on the psychological level. Only then can answers be found to such important questions as: Why does the dreamer have specific emotional responses? Why do dreams have such a profound influence on our waking emotional state? How does a set of dreams illuminate their personal interpretation? The “unnaturalness” of our dreams, which from time immemorial has been the source of human frustration, can now be scientifically explored through the combined efforts of advanced psychoanalysis and neurobiology, which promise to rid us of our primitive attitudes toward dreams.

Hobson’s approach to dreams is important because it is based on scientific laboratory procedures that were unavailable to Freud who, instead, developed a more inward approach of interpretive introspection. New studies of dreams will correct the mistakes Freud made, although they will in no way invalidate his teaching about the influence of dreams on the sleeper’s waking psychology. But the new discoveries will undoubtedly show that the experimental dimension of dreams has to be reconsidered and reinterpreted in line with the new scientific facts. Only a collaborative psychological and physiological approach to dreams will advance the search for a link between dreams and reality.

FILMIC ART AND THE NEW DREAM THEORY

One suspects that the new hypothesis about dreams will become very significant in the study of surrealist art, particularly in the analysis of the “absurd” combinations of objects and the juxtaposition of incompatible elements. This is not to say that Freudian explanations of dreams can no longer be useful in the analysis of
surrealistic works and their relationship to dreaming. It seems inevitable, however, that the older but still dominant ideas about surrealism will be modified in light of the new discoveries in brain science. This is particularly true with respect to cinema.

Filmmakers and video artists, more than anyone else, will be inspired by the new dream theory and the advancement of shooting technology, which will allow visual and acoustic materialization of human dreams. There is a striking similarity between the nature of the dream experience and cinema which is capable of producing the most “bizarre” imagery with maximum spatiotemporal distortions, allowing at the same time the movieviewer to perceive the “surreal” events as “real” at the time of watching them on the screen. This similarity needs to be further explored on both scientific and aesthetic levels. The new dream research already provides enough material to compare the relationship between the structure of dreams and filmmaking, not only in terms of the cinema’s potential to illustrate the strangest dreams, but also to achieve a dream-like (i.e., sensorial) experience by the use of specific cinematic devices. The movie screen seems to be the best “dreamstage” on which the imaginative directors have created imagery that can equal the imagery we see in our dreams. Buñuel, Maya Deren, Bergman, Fellini, Resnais, and Brakhage come to mind, not only because they succeed in presenting oniric events on the screen, but because they stimulate in the viewer a unique sensorimotor experience.

What seems most revealing to me in Dreamstage is the striking similarity between the technical properties inherent in cinema and the image-generating and image-interpreting capacities of the dreaming brain. The synthesis of inchoate data performed by the dreaming brain is reminiscent of the play of chance so common in the artistic process—that unpredictable combination of elements which sometimes create a new and indicative arrangement of biological information. As Hobson emphasizes, this recognition of the play of chance in the dreaming process does not rob dreams of their symbolic meaning, as is so often feared by the opponents of the new dream theory, i.e., those who continue to uphold the “disguise-censorship” hypothesis of dreams.

As Hobson recognized during the Bergman and Dreams conference (Harvard, January 27–29, 1978), it is quite legitimate to compare the function of the dreaming brain with the multifaceted cinematic process. It seems to me that the dreaming brain works, in a sense, as an instant camera (by transforming the stimuli immediately into an image), an editing table (by juxtaposing the images without following the narrative continuity and spatiotemporal logic), and a projector (by activating the dreamer’s sensorimotor centers with a kinesthetic intensity). This is where film and dreams meet in creating a surreal landscape and a bizarre course of events.

REFERENCE NOTES

1. Unfortunately, the new Dreamstage catalogue, made for the touring exhibition in 1978, contains less scientific information and is designed primarily to entertain, rather than to inform potential visitors.
2. Professor M. F. Malik, from the Department of Communication Studies, Concordia University Montreal, is conducting such tests in his Communication Research Laboratory. Some of his results obtained via biometrical measurements of sample audiences prove that valuable information can be contributed to this area of cinema studies.
SELECTIVE BIBLIOGRAPHY ON DREAM AND FILM

Janet Jenks Casebier and Allan Casebier

Materials on dream and film fall into four categories. These are Filmmakers' Dream Journals, Theoretical Writings, History and Criticism of films and/or filmmakers, and Psychological Investigations that have shown how film affects dreaming.

FILMMAKERS' DREAM JOURNALS

Brakhage, Stan. I...sleeping (Being a dream journal and parenthetical explication, February 20–May 26, 1975). Located in the Anthology Film Archives, 80 Wooster St., New York, N.Y., 10012.


THEORETICAL WRITINGS


Critical discussion of Communications, 1975, No. 23, which is a special issue devoted to psychoanalysis and cinema edited by Raymond Bellour, Thierry Kuntzel, and Christian Metz.


Reviews Plato on appearance and reality and Freud on dreams and contends that film experience is like dream experience without control over the content. First published in Communications, 1975, 23, 56–72.


Includes survey and analysis of film and dream.


Argues that film cannot portray dream in the way literature can (pp. 46–48).


Film as dream is related to the distinction between closed and open film worlds in "Frame and Context" (p. 51 ff.).


Comparison of film and dream (p. 16). See also p. 67.


A thorough exploration of the relationship of film and dreams, arguing that the comparison is fruitful but not in the ways usually thought. Comment by Francis Sparshott, pp. 91–93.


Author considers Lewin's idea that the movie screen is regarded by analogy with the dream screen via the willing suspension of disbelief (p. 248).


Interview with Fellini contains a comment on film and dreams (p. 27).


A few comments by Buñuel about how cinema is an involuntary imitation of dreams.


Hall says, "It (a dream) resembles a motion picture or dramatic production in which the dreamer is a participant-observer."


The first chapter, "Self exploration and survival in Persona and The Ritual: The way in," is devoted to an analysis of Bergman's films as recurring dreams.


Develops the notion of film as a dreamlike dialectic between passivity and creation of images (p. 56 ff).


The author traces the effects of filmic images on our dreams and comments on their ultimate influence on our psyches.


Relates the dreamlike quality of film to his well-known theory of filmic realism (especially pp. 162–166).


The idea that film is like a dream in its mode of presentation originated here. See pp. 411–413 in the essay "A note on the film."


Sees film as a dream that induces the spectator to dream.


Important exploratory sections on the psychic bi-presence of dreams in films (especially p. 171 ff).


Lo Duca believes that the source of cinematic eroticism is the relationship between seeing a film and dreaming.


Contains some of the important essays about film and dream, including those by Mauерhofer and Langer.


Chapter 1, "Adam's dream," explores the similarity of film and dream.


Movie watching is like the experience we have during the time between sleeping and waking up.


Compares and contrasts dreams and nightmares with film (pp. 41–49).


A lecture originally given in 1945, which relates perception of film to gestalt psychology.


Important article providing a semiological analysis of the relationship between film and dream.


Utilizes psychoanalytic and aesthetic theoretical writing in discussing the film and dream relationship.


Film differs from dream primarily in the completeness of the experience it provides (Chapter 9, “Means of the photoplay”).


A collection of papers delivered at the Bergman and Dreams conference at Carpenter Center for the Visual Arts, Harvard University, January, 1978, with additional material. Introduction by Vlada Petrie, statement “On dreams, the subconscious and filmmaking” by Ingmar Bergman, and Essays by Marsha Kinder, Allan Hobson, Jacob Zelinger, Stig Bjorkman, John Simon, Beverle Houston, Peter Cowie, Vlada Petrie, Dusan Makavejev, and Stanley Cavell.


Entire issue devoted to Metz’s work. Only a few references to his work on dream and film are made.


Presents much on the dreamlike qualities of films by Maya Deren, Luis Buñuel, Stan Brakhage, and other leading avant-garde filmmakers. Sitney explains the underlying philosophy behind the lyric, structural, and graphic film, connecting these with the dreamlike qualities in the films of significant predecessors like Deren.


A key article on the relationship of film to dream, exploring comparisons and contrasts between the two. Comment by Jack Glickman follows (pp. 131–136).


Section entitled “Film and dream” contains a noteworthy discussion that points up the uses and abuses of the analogy between the film experience and the dream experience.


Compares and contrasts the film experience and dreaming (pp. 182–209).


Chapter on the Daylight Dream (pp. 230–246) explores the view that film is like dream.


One of the best criticisms of Suzanne Langer’s view that the film experience is like the dream mode of consciousness. See especially pp. 126–131.


Critical discussion of Suzanne Langer’s seminal view.

See chapter on escapist and experimental films.


Wood discusses ways in which TV programs are like dreams.

**HISTORY AND CRITICISM**


Stills from early movies and a chapter on nightmares are included.


Discusses his methods for transforming memories and dreams into film drama.


Bergman reports on the origins of dreams in his films and his impressions of dreams in Cocteau (pp. 44–45).


Important critical work.


Briefly speculates on how some of *Persona* might be viewed as a dream (p. 133).


A seminal piece, weighing various interpretations of Resnais’ film including the idea that it is all or in part a dream.


Discusses the ways in which Pabst’s film serves as a presentation of psychoanalytic conceptions of the mind, especially conceptions about dreams.


Dawson makes a connection between the character Eva’s dream and the artist’s imago projected in Ingmar Bergman’s *Shame*.


Deren’s reflections on the creation and understanding of her films. See especially “An anagram of ideas on art, form, and film.”


Summary and analysis of Bergman’s film *Dreams* are presented (p. 123 ff.).


G. W. Pabst’s and F. W. Murnau’s dream portrayals are discussed (pp. 31–37 and pp. 214–221, respectively).


Provides a psychoanalytic interpretation of the dreams and other crucial happenings in Ingmar Bergman’s *Wild Strawberries*.


Analysis of dream sequences in three Bergman films—*Skammen, En Passion*, and *The Touch*.


Chapter on the surrealist sensibility explains how dreams are portrayed surrealistically with special reference to Buñuel-Dali collaborations.


The film is regarded as having a dreamlike quality and is explicable in terms of psychoanalytic conceptions of dreams.


Anthology of surrealist texts and manifestos, including texts by Aragon, Artaud, Breton, Brunius, Buñuel, Ado Kyrou, and Man Ray.


Dream images form the core of Szabo's filmmaking style.


Dreaming is analyzed as a crucial structure in an Altman and a Resnais film.


Contains many essays on Buñuel's films. The role of dream sequences in the creation of surreal effects is discussed throughout.


Makes reference to the way film criticism should give dream a central place in the analysis of avant-garde surrealists like Jacques Brunius and more commercial surrealists like Luis Buñuel. See especially section on Buñuel's *Belle du Jour*, pp. 170-174.


Metz indicates the centrality of Guido's dreams in the structure of 8¼.


Traces a basic pattern of the use of dream in Keaton's films. Page four and chapters on *Sherlock Jr.* (pp. 75-99) and *Steamboat Bill* (pp. 278-304) are especially interesting.


Describes how Fellini integrates dream and reality (pp. 124 ff. and 280 ff.).


Article describes time in film as analogous to the flow of time in a dream.


Argues that the Resnais film cannot be interpreted as having any one meaning, especially the oft-mentioned notion that the film portrays a dream or a series of dreams.


Film review that evaluates Alberto Moravia's claim that Fellini has betrayed Petronius by substituting a dreamlike vision for the reality of classical antiquity (p. 40).


Interview with Russell. Filmmaker mentions his use of dream and nightmare with special reference to his film biography of Gustav Mahler (p. 208).


A dreamlike quality is found at the heart of Mizoguchi's film.


An analysis of the dream content in Pabst's film. Also includes Sachs' views on the limitations involved when one tries to present psychoanalysis in film form.


Contends that gangster/crime films achieve a synthesis of dream and reality (pp. 336-337).


The films of Enrico are used to discuss the portrayal of inner life, including dream.


Contends that the film is impoverished if its action is taken as occurring in a wholly mental world—including someone's dream.


Tyler states that "the chief imaginative trend among experimental or avant-garde filmmakers is action as a dream and the actor as a somnambulist." (Quote cited by Sitney in *Visionary Film*, 2nd ed., 1975, p. 21.)
A discussion of dream as subversive structure in Buñuel’s films *Un chien Andalou* and *Discreet charm of the bourgeois*. (p. 60 ff.).

Daydreams, American dreams, and dreams in American movies prior to 1950 are understood in terms of well-known psychological conceptions.

**PSYCHOLOGICAL INVESTIGATIONS**

Stressful and neutral films (subincision film and London travelog) were shown to 12 male subjects before sleep and their effect on sleep and dreams reported.

Survey of previous work and original study reported.

Subincision film shown to 20 male college students. Skin resistance, mood, and dream content were analyzed in this investigation of the adaptive function of dreams.

Dress film viewed by 16 subjects and their dreams studied.
Original experiment and survey of others’ work on the effect of dreams of subjects exposed to differing types of films.

Study of the effect of a violent Western film and a film of a comedy in a Western setting on the dreams of 24 male and female subjects.

Study of the dreams of 32 boys aged 6 to 12. All were shown films prior to sleep. One was a Western film and the other was a documentary of Little League baseball.

The effect of four films (two stressful—subincision and birth—and two neutral—London and West travelogs) on 28 male night workers. Respiration and mood are studied and content analysis of dream texts is made.

Study using autopsy film and dream deprivation to test human adaptation to stress.

Analyzes the effects of film experience on dreams and other forms of consciousness in the schizophrenic patient.

Systematic repeat with more subjects of Witkin and Lewis’ 1965 study that used films as presleep influences on dream content. Detailed description and discussion. Original study in *Journal of the American Psychoanalytic Association*, 1965, 13, 819-849.
August 10, 1977

The Dream Journal
Post Office Box 41110
Los Angeles, California
90041

Dear Dream Journal:

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Zzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzzz

Sincerely yours,

Bruce Conner

P.S. Did you ever see a dream walking? (I saw wood.)
NOTES ON CONTRIBUTORS


Nick Browne teaches film history, theory, and criticism at Harvard University. He has published articles with a psychoanalytic perspective on films by Godard, Bergman, Ford, Renoir, Griffith, and Cocteau. He is currently doing work on the relation between films and their social contexts.

Janet Jenks Casebeer is Humanities and Social Sciences Librarian at the California Institute of Technology, Pasadena. Allan Casebeer teaches in the Division of Cinema, University of Southern California. Together they have co-authored The Social Responsibilities of the Mass Media (Washington D.C., University Press of America, 1978), and Allan is the author of Film Appreciation (New York, Harcourt Brace Jovanovich, 1976).

Fu Ding Cheng was formally trained in architecture but now works primarily as an artist and filmmaker. Long term involvements of his include Kung-fu and meditation, which both have influenced his films: Ethero, Suzuram-Ko, White in Bad Light, and Flight of Ideas.

Ed Emshwiller, former painter and illustrator, has been making “environmental” films since the late fifties. His films include Dance Chromatic, Transformations, Life Lines, Variable Studies, Thanatopsis, Totem, Scrambles, George Dumphson’s Place, Relativity. During the seventies he has made a number of videotapes exploring human relationships expressed through technically advanced image making. He is currently Dean of the School of Film and Video at California Institute of the Arts.

Jules Engel is a filmmaker, painter, sculptor, graphic artist, and set designer. A director and producer of both live action animated films, he won first prize at the Venice, Edinburgh, Mannheim, and Atlanta film festivals and three Golden Eagles from the U.S. Government. During the eight years Engel was Art Director at UPA, the studio received three Academy Awards and eleven nominations for films produced under his artistic supervision. Among his films were Mr. Mogoo, Madeleine, and Gerald McBoing Boing. He currently teaches at California Institute of the Arts.


J. Allan Hobson is Director of the Laboratory of Neurophysiology, Department of Psychiatry, Harvard Medical School. Dr. Hobson’s research has elucidated the neurophysiological mechanisms responsible for the generation of the dreaming sleep state. The implications of these discoveries for psychology have been the subject of recent theoretical articles by him and Dr. Robert McCarley, which challenge many aspects of traditional views of the dream process.

Marsha Kinder is Professor of Literature and Film and Chair of the English Department at Occidental College, where she teaches an experimental course called “Dream Styles.” Co-Editor of Dreamworks, she also is a member of the Editorial Board of Film Quarterly and Quarterly Review of Film Studies and co-author of Close-Up: A Critical Perspective on Film (1972) and Self & Cinema: A Transformationalist Perspective (1980). Currently she is working on a book of aesthetic theory entitled Dream Stylistics.
Bruce McPherson teaches courses in humanism and philosophy of education at Boston University and a graduate writing course at the Harvard Graduate School of Education. He is interested in psychoanalysis and Marxism and is writing a book on the 19th century ideology of progress.

Dusan Makavejev is a Yugoslavian filmmaker, who has lived in Paris since 1973. His films include Man is Not a Bird, Love Affair: The Case of the Missing Switchboard Operator, Innocence Unprotected, WR: The Mysteries of the Organism, and Sweet Movie.

Paul Mazursky is a director, writer and actor whose films include I Love You Alice B. Toklas, Bob and Carol and Ted and Alice, Alex in Wonderland, Blume in Love, Harry and Tonto, Last Stop Greenwich Village, and An Unmarried Woman.


Beverly O'Neill is Project Director for Film Oasis at Los Angeles Institute of Contemporary Artists (LAICA). She teaches art and film history and theory at Otis-Pa svn Art Institute in Los Angeles.

Pat O'Neill's films include By the Sea, Bump City, 7362, Screen (installation), Runs Good, Easyout, Last of the Persimmons, Down Wind, Saugus Series, Sidehinder's Delta, Two Sweeps (installation), Foregrounds, Sleeping Dogs (Never Lie).


Paul Sharits is an experimental filmmaker teaching at SUNY at Buffalo, the Center for Media Study. His films include Ray Gun Virus, Piece Mandala/End War, Razor Blades, N.O.T.H.I.N.G., T.O.U.C.H.I.N.G., S.T.R.E.A.M.S:S:SECTIONED, Declarative Mode, Tails. His writing on films have appeared in Film Quarterly, Film Culture, Afterimage, Art in America, Quarterly Review of Film Studies, and Niagara Magazine. His dream related work is featured in Paul Sharits: Dream Displacement and Other Projects.

Chick Strand's films include Anselmo, Waterfall, Masori Monika, Cosas de Mi Vida, Elasticity, Guacamole, Mujer de Miljuegos, Soft Fiction, Cutaway, Cartoon Le Mousse, Kristallnacht, and Fever Dream. Recipient of a Guggenheim and an American Film Institute Grant, she currently teaches filmmaking at Occidental College and California Institute of the Arts.
FILM BOOKS FROM REDGRAVE

SOUND AND THE CINEMA
Evan William Cameron, ed.
Price: $7.40

QUARTERLY REVIEW OF FILM STUDIES
Ronald Gottesman and Regina Fadiman, eds.
1 year subscription price: $17—individual; $25—institution

EXPLORATIONS IN NATIONAL CINEMA
HISTORICAL THEORETICAL SPECULATIONS
Papers from the 1977 Purdue Film Conference
Price: Two-Volume set—$9.95

THE FILM CAREER OF BUSTER KEATON
George Wead and George Lellis

THE FILM CAREER OF BILLY WILDER
Steve Seidman

THE FILM CAREER OF ALAIN ROBBE-GRILLET
William F. Van Wert
Price: $7.80 each.
$16 for a set of all three

FILM AND DREAMS
Vlada Petric, ed.
Price: $8.50
Available: Summer 1980

SELF AND CINEMA
Beverle Houston and Marsha Kinder
Price: $7.95
Available: Spring 1980

MARTIN SCORSESE: THE FIRST DECADE
Mary Pat Kelly
Price: $8.90
Available: Spring 1980

Order from
Redgrave Publishing Company
430 Manville Road, Pleasantville, NY 10570