

# The Transtextual Study of “to Have and Have Not” and “Captain Khorshid”

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## Abstract

Adaptation is a creative art of converting the motifs of the semiotic system of literary texts into motion pictures and the filmmaker is a kind of translator who is trying to convert a text or particular system of signs into an image or another configuration. One of the significant theories on Adaptation studies using comparative approaches is hypertextual studies.

The hypertextual studies examine any relationships uniting a text B to an earlier text A based on adaptation studies. Genette divides adaptation relations into the two categories, imitation and transformation and literary adaptations in cinema lie in the transformation category. The debate rests essentially on investigating the cinematic adaptation “Captain Khorshid” directed by Nasser Taqvaei using the principles of intertextuality and transtextuality; the literary texts and cinematic texts are considered as hypo-text and hyper-text respectively. Using a descriptive-analytical approach, this article proposes that in the translation and cross-cultural transformation processes, the filmmaker does not tend to create his movie (hyper-text) a mere equivalent to the original text (hypo-text) and he has also tried to domesticate the source text and makes his artwork in tune with his cultural competence and applies cultural appropriation to the novel.

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## I. Introduction

A cinematic adaptation of literature has always been the main focus of many filmmakers and a vast number of films are adapted from novels. By relying on its capabilities, cinema has been able to develop a mutual and effective relationship with literature. The way of adapting literature and conveying its concepts to motion pictures and relating the adapted film to the hypo-text are key issues which have not been appropriately considered in the cinematic researches. From the very beginning of the advent of cinema in Iran, the issue of adapting literary texts of classical and contemporary authors attracted filmmakers' attention and the mutual relationship between literature and cinema using a bilateral dialogue, on the one hand has introduced many of the literary works at a wider and more popular level, and on the other hand it has provided the basis of using the literary narratives for making movies. During the process of adaptation, it is necessary to make some modifications and adjustments to the work and source of adaptation and in order to substitute the two art media, matching and modifying should take place; as a result of neglecting the adaptation process, making modifications to the pre-adaptation and post-adaptation phases for substituting two different media, too many cinematic adapted works have been doomed to failure. Genette systematically discusses the relationship between a text and other texts and defines this relationship as transtextuality and divides it into five categories; each category deals with some sort of intertextual relations. Among these five categories, intertextuality and hypertextuality handle the relationship between artistic and literary texts; intertextuality and hypertextuality are created based on co-presence and adaptation, respectively. The hypertextual relations deal with the relation between the two texts in which, according to adaptation, the existence of the second text depends on the first text and in the adaptation process, the artist tries to create a new work which contains the signs of the previous work and is considered to be a sort of intersemiotic and intercultural translation. The transmission can include a text which is translated into another language (interlingual translation) or a text which is reinterpreted in the same language (intralingual translation); as the source text will be translated into visual images (intersemiotic and intercultural translation) and cinema not only includes words (written and spoken), but also the performance of actors, music, voice and images, the cinematic adaptation process is getting more complex.

### Intersemiotic and Intercultural Translations

Adaptation is a research area which has a few theoretical studies and the cinema influenced by literary works is still assessed as its loyalty to the hypo-text; the filmmakers' innovative techniques are neglected and there are not determined aesthetic purposes and criteria for adapting films: "novel and movie are two comparable genres. This does not indicate that all the aspects of these two genres are

the same, though. There are differences between these two artistic configurations and the most important one is the mean of expression; the mean of expression in novel is word and in film is image (Payandeh, H. 1386, 29-30).

In 1963 Jakobson proposed a third type of translation called intersemiotic translation in association with film adaptation. Since this type of translation is concerned with transforming the signs of a particular sign system into various signs, it plays an essential role in this research. This area of research deals with interdisciplinary studies and investigates the common transformation process as a central part of translation and film adaptation; a little effort has been put into establishing relations between cinematic adaptation and translation as yet. Generally, translation is considered as a dual system which includes the relationship between two distinct languages and is related to bilingualism.

Whenever we think about translation, foreign language teachers, translators, interpreters come into our minds. Alienation, difference, fear, cultures and traditions are hidden in this word. The main purpose of translation is to use a comprehensible language for communicating the message which is not understood by the listener. Communication is an essential element of the origin of translation and originates from the desire to interact with other people for various reasons. Jakobson believes that translation can occur between different languages (interlingual translation), two sign systems (intersemiotic translation) and even within the same language (intralingual translation) (Lhermitte, 2005).

Today's cinema is storyteller and narrative-driven and basically, a narrative-driven cinema deals with transforming the textual signs into visual signs in an innovative manner. Although the literary language, its identity and the way of presenting it, is different from the cinematic language, both are considered as cultural utterances which go through a chain process of communicating with the audience (reader or viewer). Using chain structures of language (words) and interwoven chain-like structure of images (views), literature narrates the story (Salimikouchi, Sokout Jahromi, 2013, 156). Given the fact that before using the term "adaptation" in cinema, for the first time translation had been used to describe a specific mode, we can assume that the deep-rooted tradition of translation studies, from Plato to Derrida, has provided a practical background for developing the film adaptation theory. Translation and adaptation have many common characteristics, but the main focus of this article is on the cultural semiotic dimensions of adaptation. The first analogy that comes into the mind comparing adaptation with translation is semiotics. Adaptation is the process of transforming the verbal sign system into cinematic image system and also it is considered to be a transformation process the same as translation which actualizes the subtle *mélange* of similarities and differences; since adaptation suggests the existence of *hypo-text*, the desirable purpose of moral discourse is to find out whether or not the film is loyal to the source text and as Walter Benjamin proposes, to guarantee the after-life of the source text and

distribution of its cultural elements. The second important analogy between translation and film adaptation, is defined at the cultural transmission level. As we know, adaptation or translation is beyond the mere linguistic transformation owing to cultural dialogues. Andre Lefevere emphasizes the main role of translation in disseminating a literary work and believes that the cultural capital has been circulated, modified and distributed among other elements, cultures and even within a culture, due to translation. By displaying the literary works on screen, their reading process will be developed. Metaphors transform into comprehensible images, idiomatic expressions will be replaced with more explicit ones and cultural customs will be explained or switched for improving reader's access to them. In this process, adaptors cannot ignore the cultural background of the target culture and they should investigate the interaction between readers and the source text (Lhermitte, 2005). Adaptation relation between two texts, historical periods, cultures, media or languages is the basis for aesthetics of adaptation. In cinematic studies, time or place displacement can take place based on intercultural translation; but it is hard to transmit cultural references and metaphors to the screen and the process of transforming novels to cinematic films will be forced into significant changes.

### **Introducing the field of study**

In this paper, "To Have and Have Not" is considered to be the hypo-text, and "Captain Khorshid" is the hyper-text; in hypertextual relations, the base text from which the new configuration is adapted, is called the hypo-text.

### **The study of hypo-text**

Ernest Hemingway's "to Have and Have Not" has been translated into Persian at least three times. For the first time, in the early 40s SH (60s AD) it was translated into Persian by Parviz Dariush and then it was re-translated by Khojasteh Keyhan and Mehdi Qabraei. In addition to Naser Taqvaei's adaptation of Hemingway's novel, the other three adaptations created based on this novel are as follows: in 1944, "to Have and Have Not" was directed by Howard Hawks and its screenplay was developed further by Jules Furthman and William Faulkner; in 1950, "the Breaking Point" was directed by Michael Curtiz and its screenplay was written by Ranald Mac Dougall; in 1958, "the Gun Runners" was directed by Don Siegel and its screenplay was written by Daniel Mainwaring and Paul Monash. This novel is narrated in three chapters: spring, fall and winter and each section is a slice of Harry Morgan's life. In the first section, the story is narrated from the perspective of Harry Morgan and consists of five interconnected chapters. In the second section, the story is narrated from the third person's perspective or the omniscient and it includes three connected chapters and in the third section which is composed of eighteen chapters, the point of view changes and in its first chapter, the novel is narrated from Albert's perspective and then in the second chapter Harry becomes the narrator and from the third chapter to the seventeen, the point of view switches to

the omniscient and in the eighteen chapter, the story is narrated from Harry's wife, Mari. In the first section, namely spring, the captain, Harry Morgan, lives by leasing his boat to others in America facing an economic crisis. Then a tourist, called Johnson, hires Harry's boat for fishing, but he does not pay for 15 days of fishing and destroying the fishing tools and he abandons the city. Harry asks Frankie to take his money back and he makes a Chinese dealer called Mr. Sink's acquaintance through Frankie; Sink wants to help 12 Chinese passengers cross the border illegally and Harry inevitably agrees to do so; but in order to prevent the dealer from revealing the secret of smuggled passengers, after receiving his money, he kills the dealer and drops the passengers off in an unknown island and returns to Key West. In the fall chapter, while shipping liqueur and being badly injured, Harry and his black companion will be recognized by two of the government officers; and in the third chapter, namely winter, Harry's boat has been seized and he has lost his hand in a quarrel over smuggling liqueur. Harry and a lawyer make an agreement to help a number of revolutionary Cubans cross the border after bank robbery. The Cubans kill the lawyer in the bank and as soon as they get on the boat, they also kill Albert and make Harry leave the wharf. In the following, Harry takes a potshot at them at the first opportunity and then he gets mortally wounded by one of them and dies in a hospital. Slices of a writer's life and his relationships with his wife and the behavior of drunk soldiers are narrated in the midst of the story and in the last chapter, Mari reviews Harry's character in her mind.

### **The Study of Hypertextuality**

In the study of Iran's cinematic adaptations, harmonization and appropriation barely happen in the adaptation process of a cross-cultural literary text and the director transforms the cultural elements of the literary text into the cultural conditions of the source text. "Captain Khorshid" is one of the most important and indelible adapted films in the history of Iranian cinema, which was directed by Nasser Taghvaei in 1986 based on an adaptation of Ernest Hemingway's novel "to Have and Have not"; Dariush Arjmand, Ali Nasiryan, Saeed Pour Samimi and Parvaneh Masoumi played in this film. Taghvaei has made Hemingway's novel "to Have and Have not" conform to the culture of southern Iran due to his full recognition of southern Iran. The film won the Crystal Simorgh for the Best Leading Role by Dariush Arjmand and the Golden Disc for the best second actor by Saeed Pour Samimi in the Fajr festival and Naser Taghvaei was awarded the Bronze Leopard in the 41th period of Locarno international festival. The film starts from the moment customs officers are burning Captain Khorshid's smuggled cigarettes. Captain Khorshid has just one hand and he became a cigarette smuggler due to financial problems. Captain's smuggling has been leaked by Khajeh- Majed, the most famous merchant in port, then all Captain's capital smokes into air. In order to earn a living, Captain asks a coffee man of the port to help him find a job before his dhow is seized. In the meanwhile, Mr. Farhan, the human trafficker and dealer, comes to the port and Malul uses a place in which a few expatriates live to accommodate him. Malul

introduces Captain Khorshid to Mr. Farhan; Mr. Farhan offers Captain to help a few revolutionists flee the border in exchange for good money; Captain does what he has been asked to do and when the expatriates realize that Captain has successfully crossed the revolutionists to the other side of the border, they also ask Mr. Farhan to arrange for their escape as well. At first, Captain does not accept it but then he learns that in the next few days his dhow will be seized by government officers and in order to earn enough money, he has to do what he's been asked to do. The night before the trip, Captain unburdens himself to his wife, Khatoon, and gives the reasons for his traveling. After stealing property from Khajeh- Majed and killing him on deck, Expatriates also kill Mr. Farhan and make Captain leave the harbor. In the meanwhile, they also murder Malul and Captain finds himself in dire straits and as time goes by, he shoots at them in time and he himself also receives a wound by one of them and dies.

### **The Study of transtextual relations**

The first generation of Intertextuality, namely Kristeva and Barret, was developed by the second generation of theorists, particularly Genette and Riffaterre, and it was used as a method for literary and artistic studies; then Genette became a great jump forward for this field of study. Genette studies the relations between a text with other texts in more comprehensive and systematic way than Kristeva et al. Genette's studies include the territory of open structuralism and even post-structuralism and semiotics and due to this fact, he is able to investigate intertextual relations alongside all of the variables. He systematically studies the relations between texts and describes any kind of relation between two or more texts as transtextuality and divides it into five categories: Intertextuality, Paratextuality, Metatextuality, Architextuality and Hypertextuality. Each of the five categories deals with some sort of intertextual relations (Namvar-Motlaq, 2012, 89). This paper focuses on two types of transtextual relations, namely "paratextuality" and "hypertextuality" in brief.

### **Paratextual Relations**

Genette has proposed "paratext" in his book called "thresholds of interpretation": there is no text without cover or a bare text barely exists; texts are always directly or indirectly covered with words. These texts covering the main text like satellite are called "paratext. Paratexts are like text thresholds in that we always have to pass through the thresholds and entrances into the world of texts; these thresholds are the very paratexts (Namvar Motlaq 2007, 89-90). Genette classifies paratexts into two general categories: peritextuality and epitextuality. In most cases, peritext is a companion to the main text. Hence sometimes it is considered to be identical to the main text. In a book, elements such as introduction, titles, sometimes

chapters, dedications etc. are peritexts and in a cinematic work, the film title, opening and closing credits are epitexts (Namvar Motlaq, 2006, 199)

### **Titles as Paratextual elements**

"Captain Khorshid" includes several paratexts like title, opening credits, closing credits and film poster; in this paper we just study titles as paratextual elements. The first appropriation and transformation of a novel to the cultural conditions of the adaptation source, is adapting the film title to the novel. Given what the main character demands, Hemingway has selected the title of his novel from a combination of to have and have not which indicates Harry Morgan's fight against poverty and paves the way for entering into the text world. The title of Naser Taqvaei's adapted film is Captain Khorshid and for decoding the paratextual codes of the title, we have to investigate the plot. Khorshid represents birth, life and death and when the sun rises again, immortality and resurrection are perceived. Captain Khorshid is the protagonist and hero of the film and in the opening shot, we see the sunrise followed by the film title and opening credits; then Khajeh- Majed and his follower are pictured while entering the chamber; thereafter, the audience sees Malul collecting lanterns. At the first milestone and when Captain Khorshid meets Mr. Farhan, the sun is setting and in the following sequence, Captain decides to help revolutionists escape and for the first time, night falls; helping the revolutionists flee to the other side of the border happens in the twilight. When expatriates realize that Captain Khorshid has successfully crossed the illegal passengers to the other side of the border, they make Mr. Farhan ask Captain to cross them as well. But Captain rejects their offer. Then, Captain grasps that customs officers are going to seize his dhow and he goes to the domicile of expatriates and Mr. Farhan and then he shares his decision on helping expatriates flee to the other side of the border with Mr. Farhan; at this time, the sun is setting in the background. In the third act, expatriates murder Malul, then a quarrel breaks out between Captain and expatriates and Captain knock all of them out and in the end, he also gets killed by one of them and in the last scene, the coffee man and his follower see Captain's dhow while the sun is rising.



*Picture 1. a view of Captain Khorshid: 1: 48: 21*

### **Hypertextual Relations**

Genette has proposed hypertextuality and typology in his book called "Palimpsests". The hypertextual relations examine any relationships uniting a text B to an earlier text A based on adaptation. Genette proposed six types of hypertextual relations accordingly: pastiche, charge, forgery, parody, transvestism, transposition. Adaptation relations can also be divided into two categories: transformation and imitation. In other words, hypertextuality can be founded on either imitating the hypo-text of the hyper-text or transformational relations. Genette tries to shape the above-mentioned types into either an axis of the nature of intertextual relations, namely imitation and transformation or an axis of a system of entertaining, humorous and serious relations. So in one axis, the two indicators, namely imitation and transformation lie and in the other axis, there are three indicators, namely entertainment, humor and seriousness. Literary adaptations in cinema fall into the transformation category and Genette divides transformation into three categories: parody, transvestism and transposition; the three of them are aimed at smut, irony and seriousness respectively. Whenever imitation is discussed, it refers to the hyper-text's stylistic imitation of the hypo-text; conversely, transformation indicates the change of style (Namvar Motlaq, 2012, 146). It is essential to notice the following table summarizing the discussion. In this table, six types of hypertextual relations have been separated from each other.



	<b>Imitation</b>	<b>Transformation</b>
<b>Smut</b>	pastiche	Parody in the proper sense of the word
<b>Irony</b>	Charge Ironical pastiche Parody in the ordinary sense of the word	Transvestism Parody in the ordinary sense of the word
<b>Seriousness</b>	forgery	Transposition

**Table 1**

Adaptation is a sort of transformation and also a kind of intersemiotic or intercultural translation. Intertextuality always investigates the relations between two texts. From a cultural perspective, these two texts can occur in two general manners: either they both belong to a particular culture (intercultural intratextuality) or sometimes they come from two distinct cultures (intercultural intertextuality); so intercultural intertextuality suggests the relations between two or more texts with different cultural origins. In cinematic adaptation process of a foreign novel, the director transforms the cultural components of the novel into the cultural conditions of the source of adaptation and accordingly the intercultural intertextuality will be formed.

1- An example of a segmented event in “to Have and Have not”

1-1- Cubans’ bank robbery and escape

- Harry and Albert are on the deck making the boat ready to travel.
- Cubans are robbing the bank.
- Cubans get a taxi to the boat and then kill the taxi driver.
- Albert hears the bank alarm and says the bank is being robbed.
  - Cubans get on the boat.
  - Albert asks Harry not to start the engine and says Cubans have robbed the bank.
  - Cubans murder Albert and make Harry leave the harbor.

2- An example of a segmented event in “Captain Khorshid”

2-1 Expatriates rob Khajeh- Majed and run away

- In Khajeh- Majed’s chamber, pearls are being put up for auction.
- A daunting piece of music can be heard.
- Mr. Farhan leaves the expatriates’ domicile and passes by a reservoir and goes into it.
- The auction has been finished, Khaje takes the money and the guests leave the chamber.

- Mr. Farhan passes by women who are washing their clothes in a traditional way and the sound of wet cloth hitting the ground can be heard.

- Khajeh- Majed asks his follower to put the money into the safe, but his follower says that tomorrow is Friday and it is better not to keep this amount of money in the chamber and Khaje tells him to put the money into the bag.

- A daunting piece of music can be heard.

- Mr. Farhan is walking down the alley and he encounters the expatriates and changes his direction.

- Khaj-Majd and his follower put the pearls and money into the bag and leave the chamber.

- A daunting piece of music can be heard.

- Mr. Farhan sees Khajeh- Majed and his follower while they are leaving the chamber, Mr. Farhan stops for a moment and fearfully wipes the beads of sweat up his forehead.

- Khajeh- Majed and his follower walk down the alley.

- A daunting piece of music can be heard.

- In the harbor, Mr. Farhan goes toward Captain's dhow.

- Khajeh- Majed and his follower arrive at the determined place and his follower covers Khajeh- Majed's face with a cloth and the colonel takes him to the reservoir and Khajeh- Majed's follower takes all the money and pearls.

- One of the expatriates hits Khajeh- Majed over the head with a stick and kills him and the colonel asks the expatriates to take away the money and pearls from Khajeh- Majed's follower.

- The expatriates murder the follower.

- The colonel along with one of the expatriates throw Khajeh- Majed into the reservoir.

- Mr. Farhan enters Captain's dhow.

- Malul starts the engine and Mr. Farhan senses his presence on the dhow.

- Malul senses expatriates presence in the harbor and explains to Mr. Farhan that the expatriates have robbed Khajeh- Majed's pearl boxes and they are going to escape.

- Holding a gun, the colonel goes into the dhow and threatens Captain and forces him to go.

- The colonel kills Mr. Farhan.

- All the expatriates enter the dhow.

- The expatriates notice the presence of Malul on the dhow; but Captain makes them accept that the dhow needs a motorman.

- We are staying near Bandar café and watching the dhow leaving the harbor and the natives are worried about Captain's dhow being robbed and the soldiers shooting at the dhow can be seen.



**Image 2. A View of 1:18:33**



**Image 3. A View of 001:23:14**

### **Intercultural Analysis**

Intercultural intertextuality indicates the relation between the novel “to Have and Have not” and the film “Captain Khorshid” which have different cultural origins. In intercultural translation, the filmmaker has to create his artistic work in accordance with the cultural competence and make the novel in tune with the cultural conditions of the adaptation target text. In the above-mentioned examples of segmented events, the filmmaker equates the chapter of Cubans’ bank robbery in the novel with the episode in the film where the expatriates are robbing of Khajeh-Majed. Khajeh- Majed is the richest person in the port who has a monopoly on most of the exports and imports and every year, on a specified day, he puts the pearl up for auction in the port. After the auction is finished, the expatriates with the help of Khajeh- Majed’s follower, manage to rob Khaje’s money and pearls and then kill them both. In the episode where Mr. Farhan travels and passes by women traditionally washing the clothes and the sound of wet cloth hitting the ground can be heard, the filmmaker uses the southern Iran as the setting for representing the horrible fate that awaits Mr. Farhan. Hemingway provides the audience with a

modern image of a touristy port called “KeyWest”. In this port, there are a few airports, stores and bars and the audience are facing the signs of modernity. But in the film, in order to make the novel in tune with the cultural conditions of the adaptation target text, the filmmaker uses a port as a setting for representing no sing of modern towns and ports and in the sequence where Mr. Farhan enters the port, there is no passenger harbor and the audience notice porters who are traditionally helping passengers disembark the dhow and carrying them on chairs. Another sequence is about Khatoon’s farewell to the Captain; so, events are transformed into the cultural conditions of the adaptation target text. In the appropriation and transmission process, the filmmaker uses night as the setting for Khatoon’s farewell to Captain, while in Hemingway’s novel the farewell moment is around midday. This sequence has been shot in a Persian house yard which indicates a night of the native’s life in southern Iran. All the characters are outdoors because of the hot weather, Captain is lying on a bed, Khatoon is sitting on the porch and rocking the cradle to quieten the child and the baby girl is asleep under a mosquito net. In contrast, Hemingway provides the reader with another plot: the girls leave the room, Mary asks Harry to slice the meat; “ Harry sits at the table and looks at the Piano, coffee table, radio, September Morn painting, pictures of Cupids carrying a bow, glossy solid oak furniture and curtains” (Hemingway, 2014,117). In terms of character actions in the film, Captain unburdens himself to Khatoon and talks about the expatriate’s robbery of Khajeh- Majed and the fact that he has crossed them to the other side of the border; it sounds as though the only companion of an southern Iranian man is his wife. However, in the novel, Harry Morgan never speaks to Mary (his wife) about Cubans’ bank robbery and the fact that he has helped them flee to the other side of the border.

### Conclusion

The current research sought to investigate the film “Captain Khorshid” using the principles of transtextual studies and in order to base adaptation aesthetics on translation theory, the paper deals with not only an intermediate aspect which separates a literary work from its origin but also social and cultural environmental aspects by which the literary work is surrounded. In terms of culture, adaptations can be divided into two general categories, the two texts originate from a particular culture or different cultures. As the hypo-text of “Captain Khorshid” does not emanate from the culture of the filmmaker himself and it is an intercultural intertextuality, this film belongs to the second category. The relationship between these two texts, namely the novel “to Have and Have Not” and the film “Capitan Korshid”, is considered to be a kind of creative hypertextuality owing to the fact that if “ to Have and Have not” had never existed, adaptation and the film “Captain Khorshid” would have never been created. If the audience are not familiar with the hypo-text and even they have not experience it, they will decode the film; therefore, the film adaptation relation is not founded on the received adaptation. The way of representation or the so-called “style” of the second text has been changed as

compared with the first text and the filmmaker is considered to be a translator who transforms a text into an image. In the adaptation process, the filmmaker has transformed the speech sign system into cinema sign system through translating concepts and narratives of the hypo-text, and also he has created his own artistic work by imitating the context of the hypo-text. Critically or ironically, his imitation has not dealt with the hypo-text, so the adaptation relation between the two texts is transformation and transposition because the second text is not created for the purpose of uniting the source text, and the sign system of the second text goes beyond the source text and in the adaptation process, the content of the second text (hyper-text) has been maintained. This paper sought to study the process of transmitting the cultural components from one place to another within the intercultural translation and to investigate whether or not “Captain Khorshid” is in harmonization and conformity with “to Have and Have not”. In examples of segmented events, we witnessed the cultural appropriation or transformation of events into cultural conditions of the adaptation target text and proposed that in the translation and intercultural transformation process, the filmmaker has created his artistic work in accordance with his cultural competence and has transformed the novel into the cultural conditions of the adaptation target text. Hence this film is a sort of successful adaptation.

### **Disclosure statement**

No potential conflict of interest was reported by the authors.

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