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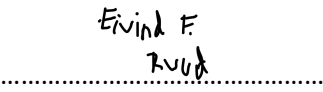
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Abstract

Over the last few decades fantasy have become a very prominent part of both academia and popular culture. It is generally agreed upon that *The Lord of the Rings* trilogy by J.R.R. Tolkien played a massive part in this popularisation. Some have even gone as far as to claim all subsequent fantasy in some way derivative of his work. This thesis examines such a claim, put forward by Professor Edward James, by comparing LOTR with J.K: Rowling's *Harry Potter* series, to ascertain the validity of such an argument. To do this, aspects such as the use of language, origins of names, the development of their main characters, and descriptions of evil are examined. Through these comparisons it is established that Rowling relies on many similar methods and strategies as Tolkien, but that she throughout her writing also gives her story its own clear identity. With the conclusions reached in this thesis it establishes itself in the discussions around the development of the fantasy genre, and provides more insight into how modern authors continue its evolution.

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1. Introduction

“All we have to decide is what to do with the time that is given to us” (J.R.R. Tolkien)

1.1 Concerning fantasy

Over the last few decades, the fantasy genre has been both extensively studied and hotly debated. What this thesis will aim to do is provide a new angle for discussion by connecting two works and authors in a way that, to my knowledge, have not been done outright before. These are *The Lord of the Rings* (henceforth abbreviated *LOTR*) by J.R.R. Tolkien and *The Harry Potter Series* (abbreviated *HP*) by J.K. Rowling. The thesis will take the form of a comparison of certain elements of these two series. To start off, I will present some background on Tolkien that will lead into the central topic of this thesis.

1.2 Goal of the thesis

When one intends to talk about fantasy it would seem inevitable to start with John Ronald Reuel Tolkien, who’s Magnum Opus, *The Lord of the Rings*, (*LOTR*) according to Edward James, Professor of Medieval History at University College Dublin, “*looms over all the fantasy written in English – and in many other languages – since its publication;*” (James, pp. 62) Tolkien has been voted author of the century by the British public in multiple different surveys, *LOTR* have beaten *Pride and Prejudice* as the greatest work of English fiction, and in both Germany and Australia it has been voted the most popular book. The trilogy has also been adapted into movie form on several occasions, with Peter Jacksons version, released between 2001 and 2003, holding the record as the highest grossing trilogy in cinema history.

Continuing from the previous quote James also argues with regards to Tolkien that “*most subsequent writers of fantasy are either imitating him or else desperately trying to escape his influence.*” (James pp.62) This is a pretty bold statement, which can be read as James essentially arguing that the vast majority of fantasy is not really original, either merely doing what Tolkien did or deliberately putting their work in contrast with his.

This quote is what will form the core of what this thesis will be investigating. The question is whether or not this claim holds true when it comes to Rowling and *Harry Potter*. Is she, as James seems to argue, simply copying what Tolkien has already done, merely telling the same story with a colour palette change, or is she instead deliberately trying to put her story in opposition to Tolkien? Or is she in fact telling her own original story, neither imitating, nor trying to escape the influence of Tolkien?

1.3 Selection and delimitation

The choice of *Lord of the Rings* was based on the importance and impact it has had for the fantasy genre, being central in the establishment of many of the features of the genre. Also important for its selection was that it provides one of the most complete examples of created language seen in fiction and as a linguist, Tolkien had a clear understanding of the origins of his words. As for *Harry Potter*, its inclusion was based on the fact that many of the names of characters, places and spells used also have older origins. In addition, since the evolution of the fantasy genre has been driven by its readership, *The Harry Potter series'* massive success and impact makes it a very relevant comparison to *LOTR* with regards to how the fantasy genre has evolved over the past 60 years.

The choice to go with these aforementioned works also has basis in the external limitations as well as my own delimitation of the task. As the size and timeframe of the thesis does not grant the ability to look at all fantasy written since the time of Tolkien, a smaller selection was required. The delimitation to the primary texts in question was then based on the stated goals of the thesis and my opinion that these works are able to help answer the research question.

It should also be noted that this thesis is strictly literary in its ambition. This means that it will not discuss any aspect of the primary sources in relation to any political or social angle. While there undoubtedly are many interesting discussions that could be had on these topics, this is not the goal of this thesis. This also means that any debates around the personal beliefs of either Tolkien or Rowling are not relevant for my analysis.

1.4 Material and Methodology

For this thesis, the materials used is a combination of primary and secondary sources. The primary sources will be the works cited above. As both these series, in particular *LOTR*, have been published multiple times, in several editions over the years, it is worth noting which ones this thesis will be referring to. For *LOTR*, it is the *HarperCollins Publishers* 2008 editions that will be used, and for *HP* it will be the *Bloomsbury* original editions. The secondary sources will include *The Cambridge Companion to Fantasy Literature* edited by Edward James and Farah Mendlesohn, particularly James' own essay, *Tolkien, Lewis and the Explosion of Genre Fantasy*, which as already mentioned provides the primary topic of the thesis. In addition, *Tree and Leaf*, a collection of two of Tolkien's earliest works; *Leaf by Niggle* and *On Fairy-Stories* will be consulted. The second of these is particularly interesting as Tolkien with it not only establishes many of the conventions that he uses in *Lord of the*

Rings and that would come to be known as the pillars of the fantasy genre, but also goes into detail about what he believes to be the purpose of fantasy and why it is important. There will also be a linguistic aspect to the thesis where I will look into the origins of the languages and words of Middle-Earth and Harry Potter's wizarding world.

As far as methodology is concerned, I chose to employ the strategy of close reading, favoured by I.A. Richards and the school of New Criticism (Abrams & Harpham, pp. 241-242). Close reading, according to *A Glossary of Literary Terms* is defined as “*the detailed analysis of the complex interrelationships and ambiguities (multiple meanings) of the verbal and figurative components within a work* (Abrams & Harpham, pp. 242-243). Jonathan Culler, in his article *The Closeness of Close Reading* might disagree with this definition as he states that “*Close reading, like motherhood and apple pie, is something we are all in favor of, even if what we do when we think we are doing close reading is very different*” (Culler, pp. 20) Even so, he still believes that close reading still remains valuable to literary studies, particularly in our digital world, arguing that: “*It may become especially important to reflect on the varieties of close reading and even to propose explicit models, in an age where new electronic resources make it possible to do literary research without reading at all*” (Culler, pp. 24). I also subscribe to the belief in the value of close reading, and found that it was the most efficient strategy for reading the texts on their own merits. By employing close reading, I analysed and reflected on what I believed to be the core of Tolkien and Rowling’s work. What part of their stories contained these complex relationships and multiple meanings, and to what degree? This analysis of the primary texts became the basis for the selection of the individual topics for comparison, with the various secondary sources being chosen based on how they interpreted similar topics to what I wanted to investigate.

1.5 Justification and Relevance

An important question that other scholars might have when reading this thesis, is why the topics it investigates is worth studying. In this section I will explain some key argument in support of this. It will be divided into two overarching themes. One will look at it from a theoretical standpoint, the other from a more practical one.

1.5.1 Practical relevance

For the practical part of the argument I will be relying on the arguments presented by Susan Mandala, Senior Lecturer in Language and Linguistics at the University of Sunderland, and Edward James, Professor of Medieval History at University College Dublin. Mandla’s

argument comes from the first chapter of her highly engaging book *Language in Science Fiction and Fantasy*, chapter three of which provides the basis for one of the primary discussions of this thesis. Here Mandala showcases the incredible spread that science fiction and fantasy has had in our culture.

In addition, science fiction and fantasy are firmly established in university curricula – in literature courses as well as in the more predictable film and cultural studies programmes (...) Once derided as the province of the ‘geek’ fringe, science fiction and fantasy are now integral to the cultural landscape (Mandala, pp. 9)

She also quotes Gary K. Wolfe who, in his 2002 essay *Evaporating Genre: Strategies of Dissolution in the Postmodern Fantastic*, describes the impact of fantasy and how it is “infiltrating other genres, the literary mainstream, otherwise conventional movies and TV programs, commercial art and advertising, music, theatre, design” (Wolfe, pp. 27 in Mandala, pp. 9) The argument then is that fantasy has become a completely integrated part of our world, whose impact can be seen almost everywhere. While there are many authors and scholars that deserve credit for this, there is little doubt that the importance of Tolkien cannot be overstated. This brings in the second practical argument, presented by James.

James presents his argument in the essay *Tolkien, Lewis and the explosion of genre fantasy*, part of *The Cambridge Companion to Fantasy Literature*, for which he also served as one of the editors. In addition to what will be looked at here, this essay also provided the central topic of discussion for the thesis, which have already been detailed. For this section, the interesting part is what James has to say on the continued popularity and impact of Tolkien.

His hold over readers has been extraordinary: as is well known, and to the annoyance of literary critics, three major surveys of public opinion in Great Britain around the turn of the millennium placed him as ‘author of the century’ or his book as the most popular work of English fiction, beating Jane Austen’s *Pride and Prejudice* into second place. In 2004, Australians and Germans both voted LOTR their nation’s favourite book. (James, pp. 62)

In addition to the continued success and popularity of Tolkien, James also provides some insight into the commercial success of Rowling’s books noting how “*The seventh and last book, Harry Potter and the Deathly Hallows (2007) sold 11 million copies on its first day of publication, 2.7 million copies in the UK and 8.3 million in the USA*” (James, pp. 76). The

practical argument for the existence of this thesis then is that the massive, continued popularity of fantasy, driven in no small part by Tolkien and Rowling, both justifies and necessitates further study of their work.

1.5.2 Theoretical Relevance

For the theoretical justification two arguments will be presented. The first comes from Ursula Le Guin, author of, amongst other things, the *Earthsea Chronicles*. Her argument, presented in *The Language of the Night: Essays on Fantasy and Science Fiction*, is that fantasy challenges its readers to reevaluate every aspect of their lives.

For fantasy is true, of course. It isn't factual, but it is true. Children know that. Adults know it too, and that is precisely why many of them are afraid of fantasy. They know that its truth challenges, even threatens, all this false, all that is phony, unnecessary, and trivial in the life they have let themselves be forced into living. They are afraid of dragons because they are afraid of freedom (Le Guin, pp. 40).

What Le Guin is arguing here is that fantasy, in a very real sense, is able to tackle the most serious aspects, even as far as questioning the very nature of our lives. Fantasy, in short, through the presentation of worlds different from our own, can allow for discussion of those aspects of society that might otherwise be taken for granted.

The second theoretical argument is one that many scholars have relied on in the past. One might even go as far as to claim it the singular most important theoretical work on fantasy ever produced. This argument was laid out by Tolkien himself, in his seminal essay *On Fairy-Stories*. Originally composed as a lecture, it was later published alongside the short story *Leaf by Niggle* as *Tree and Leaf*. In this essay Tolkien explores the origin of fairy-stories and details what he feels their purpose and power is. I am not going to lay out all of his arguments here. I will limit myself to providing some of his beliefs with regards to escapism, and why for him this was a positive thing.

I have claimed that Escape is one of the main functions of fairy-stories, and since I do not disapprove of them, it is plain that I do not accept the tone of scorn or pity with which 'Escape' is now so often used (...) The notion that motor-cars are more 'alive' than, say, centaurs or dragons is curious; that they are more 'real' than, say, horses is pathetically absurd. (...) Fairy-stories might invent monsters that fly in the air or dwell in the deep, but at least they do not try to escape from heaven or the sea. (...) There are

other things more grim and terrible to fly from than (...) the internal combustion engine. There are hunger, thirst, poverty, pain, sorrow, injustice, death. (Tolkien, pp. 55/57/58/60)

Fantasy then, according to Tolkien, offers a chance to escape into a world where the problems of our world might be left behind. But at the same time, the world you are escaping into, though containing things that do not exist in our world does not try and twist “real life” into something it is not. From these two arguments I would justify this thesis on the theoretical grounds that fantasy, far from simply flights of fancy meant for children, can have a very real impact, both in examining the darkest aspects of our world, and allow a chance to escape away when the injustice and brutality of life becomes too much. Increasing our understanding of how this is accomplished then, is something that, to me, is of great importance.

Finally, in addition to the reasons presented here I also want to give some sort remarks on how I hope this thesis might benefit other scholars who might be interested in studying fantasy. Giving an overview of the different techniques and strategies and how well they work will hopefully be useful as a starting point for further discussions. Also, the introduction might be useful for others who are interested in looking into the long and varied history of the fantasy genre. Another hopeful benefit of this thesis is that it will explore certain aspects of the study of fantasy that has not been looked at in the same level of detail.

1.6 The composition of the thesis

The bulk of the thesis will be divided into four major parts, or chapters. One of these chapters will be more linguistic in nature, while the other three are pure literary analysis. This decision was made based on the belief that the topic of thesis can be answered most effectively when each sub-topic is given its own section to be focused on. The linguistic chapter will focus on the use of archaic language in fantasy. It will use various examples from the primary texts to discuss the approaches Tolkien and Rowling use in their books. The three literary chapters will cover primary characters; charting their journeys and evolutions, descriptions of evil; looking at how the stories handle the presence of evil, and the origins of names; focusing on where Tolkien and Rowling drew their inspiration from. As a pre-cursor to these chapters a short introduction to the fantasy genre will be given, covering its history and sub-genres. Special note will be given to those of High Fantasy and the Portal Quest.

2. An introduction to Fantasy and the primary texts

2.1 What is fantasy?

To define Fantasy is not an easy task, it is at the same time both one of the most diverse and expansive forms of literature. What exactly differentiates Fantasy from fairy-tales, or what is often seen as its counterpart, namely Science Fiction? For the purposes of this thesis the primary definition is the one presented by Susan Mandala in her book *Languages in Science Fiction and Fantasy*. Here she defines fantasy, or more specifically Heroic Fantasy as "a prose narrative set in an invented and often pre-industrial world where 'magic really works'" (pp. 2). She also says that Heroic Fantasy is sometimes referred to as High Fantasy or Sword and Sorcery. This thesis will primarily be using High Fantasy as the referred name. For the sake of differentiating it from sci-fi, the definition she uses for it is the one pioneered by Amis in the early sixties: "Science fiction is that class of prose narrative treating of a situation that could not arise in the world we know, but which is hypothesised on the basis of some innovation in science or technology, or pseudo-science or pseudo-technology, whether human or extra-terrestrial in origin" (Amis 1960/1963 in Mandala 2010 pp. 2).

Another term relevant to this thesis is that of the Quest Fantasy. W.A. Senior, in his essay on the subject, provides a very clear outline of the traits of Quest Fantasies.

The structuring characteristic of quest fantasy is the stepped journey: a series of adventures experienced by the hero and his or her companions that begins with the simplest confrontations and dangers and escalates through more threatening and perilous encounters. (...) Quest fantasies conventionally start in a place of security and stability, and then a disruption from the outside world occurs. (Senior, pp. 190)

In addition to this, Senior explains how Quest fantasies often feature average protagonists, the importance of choice and some form of a Dark Lord that threatens the land. As will hopefully become clear when describing the plot of the two series, this description is one that fits very well with both.

The last term that will be described is the Portal Fantasy. This term will come up in relation to HP. The definition of this term comes from Farah Mendelsohn's *Rhetorics of Fantasy*. A Portal Fantasy involves a main character who "leaves her familiar surroundings and passes through a portal into an unknown place" (Mendelsohn, pp. 1). While Portal stories most of the time also are Quest Stories, they do not have to be. The Portal Fantasy also involve

“*entry, transition and exploration*” (Mendelsohn, pp. 2). For Harry, as we shall see, the entry into platform 9 ¾ functions as the portal into the magical world.

Having set the various definitions in order, what will follow is a short summary of each of the primary texts. This is done primarily for the benefit of future readers of the thesis, who might not be intimately familiar with the stories. In addition, it provides a framework for reference that avoids the need for constant explaining of future examples. The books will be presented in their original release order, starting with LOTR before moving on to HP. Page numbers for each book can be found in the list of contents for those in need of a quick reference.

2.2 Lord of the Rings

2.2.1 Book 1 – *The Fellowship of the Ring*

The story takes place in the land of Middle-Earth, a mystical realm inhabited by magical beings such as elves and dwarves. The first book opens with an extensive prologue that details much of the pre-history of Middle-Earth, in particular the hobbits, or Halflings. Much of the story will be centred around a select few of them. The prologue tells how one hobbit, Bilbo Baggins, during the events detailed in *The Hobbit* novel, came to possess a magical ring. The story then opens on Bilbo planning to celebrate his 111th birthday, which is a great age for a hobbit. We are also introduced to Bilbo's nephew Frodo, who Bilbo had taken in after Frodo's parents died. Furthermore, we are also introduced to their gardener, Samwise Gamgee, Frodo's two friends Meriadoc 'Merry' Brandybuck and Peregrin 'Pippin' Took and the wizard Gandalf. He had also taken part in the journey when Bilbo found the ring.

It is revealed that Bilbo is planning to use the party as his final bow, as he wants to leave the Shire to go live with the elves. He leaves everything, including the ring for Frodo.

A few years pass before Gandalf returns to tell Frodo that the Ring is in fact the one created by the Dark Lord Sauron. It was believed to have been lost, and learning that it was not, Sauron is now searching for it. It is decided that it is no longer safe for Frodo to stay in the Shire and that he should head for the elven city of Rivendell. Sam is to accompany him on this journey. Gandalf then leaves but says that he will be back in time for Frodo's departure. He does not show up in time however, so Frodo sets off without him. He is joined, by Merry and Pippin, who learned about Frodo's plan, and insists on coming with him. On the road they are being tracked by a black rider and decide to take the path through the old forest. Here they encounter Tom Bombadil, who rescues them not only, once, but twice, including from spirits who captures them on the barrow-down. Eventually they make their way to Bree where they

are joined on their quest by the human ranger Aragorn. During a stop at the ancient tower Weathertop the group are cornered by several of the black riders and Frodo is injured by one of their swords, but in the end they all make it to Rivendell.

Here Frodo is reunited with Bilbo, while a council is held to determine what should be done with the Ring. Since they cannot agree what to do Frodo volunteers to carry the Ring to Mordor so that it might be cast into the fires of Mount Doom and destroyed once and for all. He is joined by Sam, Merry and Pippin, as well as Aragorn, revealed to be the heir to the throne of Gondor. Gandalf, who caught up with them in Rivendell, Boromir, the son of the steward of Gondor, the elf Legolas and the dwarf Gimli also joins them. They encounter many dangers on their journey, eventually making their way to the old dwarven kingdom of Moria and decide to pass through it. It is abandoned however, save for orcs, and a Balrog, a demon. Gandalf faces down the Balrog, which allows the others to escape, but at the cost of his life. Having escaped Moria, they stop by the elven kingdom of Lothlorien where they meet the lady Galadriel. Before they leave, she bestows upon each of the companions a gift. To Frodo she gives a phial of light that will help him on the dark roads ahead. Stopping on the bank of a waterfall, they discuss what they should do next, but struggle to agree. Having left to wander on his own a little bit, Frodo is confronted by Boromir, who tries to convince Frodo to come to Minas Tirith, the capital of Gondor. When Frodo refuses, Boromir grows angry and tries to take the Ring from Frodo. Frodo escapes, but realizes that the persuading aspects of the Ring will eventually overcome all of the companions. He therefore decides to sneak off on his own. He is not able to escape Sam, however, and so the two hobbits set out on the rest of the journey on their own.

2.2.2 The two Towers

Moving on to the second book, the first thing to make note of is that both this, and the last book, *The Return of the King*, are split in two separate sections. The first follows the journey of the remaining fellowship, while the second follows Frodo and Sam's adventure. After Frodo and Sam have snuck away from the others they are set upon by a band of orcs. During the battle Boromir is killed and Merry and Pippin taken captive. Aragorn, Legolas and Gimli decide to try and rescue them instead of following Frodo and Sam, and set off in pursuit. They travel across the lands of Rohan where they encounter Éomer and the Rohirrim. From him they learn that the King of Rohan, Théoden is ill and that bands of orcs have been attacking villagers. Tracking the trail of Merry and Pippin into the forest of Fangorn, they meet Gandalf, who did in fact die in his battle with the Balrog, but has returned to Middle-Earth to

help in the coming battles. He also tells them that Merry and Pippin have been rescued from the orcs by Treebeard, an ent, and that they are currently with him now. The four companions then travel to Edoras to meet with King Théoden. Gandalf is able to help Théoden recover, but when learning of the coming army of orcs, he insists that they all should travel to the stronghold of Helms Deep and make their stand there. They arrive at Helms Deep just in time, and from there, they are able to repel the attack and drive the orcs back.

Meanwhile, Merry and Pippin, alongside Treebeard and many other ents launch an attack at Isengard, the home of the wizard Saruman. He has betrayed the White Council and attempted to seize power for himself. They are successful in defeating his Uruk-hai, and bring an end to his machinations. Here the remaining members of the fellowship are reunited to debate what will happen next. It ends with Gandalf, taking Pippin with him, riding to Minas Tirith to confer with the steward of Gondor and inform him of what has happened, while the others will take the long road and gather an army.

Next the story jumps back to Frodo and Sam. I will not provide too much detail about this here, as much of it will be covered in the chapter on the main characters, only giving a brief summary of the key events. It starts with Frodo and Sam being hopelessly lost in the mountains wondering how they are going to find their way back down. They are soon set upon by Gollum, the creature that Bilbo stole the Ring from so many years ago. He tries to attack them, but after they overpower him, Frodo commands him to lead them to the black gate of Mordor. It is a long and perilous journey, but they eventually make it. At the gate it becomes clear that they cannot enter Mordor this way however, so Gollum offers to lead them on a secret, unguarded path. As they make their way to this path, they have a brief encounter with a group of Gondorian rangers, led by Faramir, Boromir's brother. This allows Frodo and Sam to rest and get some updates on the going-on in the world. They eventually make their way to Gollum's secret path which turns out to be a trap, as it goes through the lair of Shelob the spider. She attacks Frodo, but Sam is able to drive her away, but believing Frodo is dead Sam takes the Ring and prepares to go on on his own. Before he can do so Frodo's body is found by a group of orcs and Sam, overhears them talking and learns that Frodo is in fact not dead. The book then ends with Sam vowing that he will rescue Frodo or die trying.

2.2.3 The Return of the King

As mentioned, the third and final book is also split in two separate sections. In the first of these we follow the fellowship as they prepare for the battle against Sauron. Gandalf and

Pippin are in Minas Tirith, where Pippin swears fealty and is made a knight of Gondor. Meanwhile Aragorn, Legolas, Gimli, and Théoden are mustering the army for the ride to the city. This includes the army of the dead, who long ago swore an oath to the king of Gondor, that Aragorn is able to make claim on. They finally make it to the Pellenor fields in front of the gates of Minas Tirith where, after a great battle they are victorious, and drives back the forces of Mordor, but during the battle Théoden is slain. After the battle Aragorn rallies what are left of the forces and rides for the black gate in an attempt to keep Sauron focused on them, so that Frodo and Sam might slip by unnoticed.

Back with Frodo and Sam, the last section opens with Sam successfully rescuing Frodo from the orcs and they set out on the final leg of their journey. Despite the constant struggle and danger, including a run-in with a band of orcs, they are finally able to make it to Mount Doom, where the Ring, with some accidental help from Gollum, is at last destroyed. This causes the collapse of Sauron's army, and Gandalf is able to ride in with the help of the eagles to rescue the two hobbits. Some time is then spent in Minas Tirith, were amongst other things, Aragon is crowned King. The fellowship then sets out on their last journey together and the hobbits finally makes it back to the Shire. When they get there however, they find out it has been overtaken by a group of brigands, under the command of Saruman. Merry and Pippin rallies the rest of the Shire and they are able to drive the brigands out and Saruman is killed. The final chapter takes place a few years later when Frodo reveals to Sam that he is leaving Middle-Earth with the last of the elves. After a tearful goodbye the story ends with Sam coming back home to his wife and child.

2.3 Harry Potter series

2.3.1 Book 1 – *The Philosophers stone*

In the first book we are introduced to the majority of important characters throughout the series. The book starts by exploring a day in the life of Vernon Dursley, Harry's uncle, his wife Petunia and their son Dudley, who as the first line of the book tells us: "*were proud to say that they were perfectly normal, thank you very much*" (Rowling, pp. 7). At the end of the day, after the Dursleys have gone to bed, we meet Professors Dumbledore and McGonagall from whom we learn of the existence of witches and wizards. From them we also learn about the apparent downfall of the evil wizard Voldemort, the one responsible for killing Harry's parents and many others. Harry's role in his defeat has already made him famous in the magical world. We also meet Hagrid, who is the one who brings baby Harry to his relatives

where Dumbledore has decided he will live. Hagrid also makes a passing mention of Sirius Black, who becomes a major player in the third book.

The next section of the book is all about Harry's life with the Dursleys. Now approaching eleven, we see how he has been mistreated, and how his aunt and uncle have kept the truth about his parents and who he is from him. Though Harry does not know he is a wizard we do learn that he has a knack for making weird stuff happen. During a visit to the local zoo Harry discovers he can talk to snakes, and accidentally sets loose a boa constrictor by removing the glass in front of its display. As Harry's birthday approaches, he starts receiving mysterious letters, which always seem to find him no matter where he is. Eventually, while holed up in a small hut out on the sea, Hagrid arrives and reveals the truth to Harry, that he is a wizard and that he is going to Hogwarts. The next day he takes Harry to Diagon Alley in London where Harry acquires his wand, meets Draco Malfoy, who will become his biggest rival, and during a visit to the wizarding bank of Gringotts learns he is in fact quite rich. He also sees Hagrid remove a small package from one of the vaults, but not calling it more than 'Hogwarts business.'

On September 1st, Harry is ready to leave for Hogwarts. Arriving at the train station he is helped to get to platform 9 $\frac{3}{4}$, by the mother of a large family of red-headed witches and wizards. Onboard the train he gets talking with the youngest boy in the group, Ron, who is also starting school that day. Harry and Ron quickly become friends and Ron introduces Harry to more aspects of the wizarding world, including Quidditch, their equivalent of football, and the collecting of famous witches and wizard cards from chocolate frog packs. On the train they also meet a boy named Neville who keeps losing his toad and a rather snooty girl called Hermione. Once they arrive at the castle they get sorted into one of the four houses, Gryffindor, Ravenclaw, Hufflepuff and Slytherin, the house Voldemort was in while at Hogwarts. This sorting is done by an old hat who while trying to decide where to put Harry says he would do well in Slytherin, but Harry begs it not to place him there, so he instead ends up in Gryffindor alongside Ron, his older brothers, and Hermione.

During this first year Harry joins the Gryffindor Quidditch team as the youngest player in a century, has a run-in with a three-headed dog, and fights off a troll alongside Ron, which also cements Hermione as a friend. He helps Hagrid care for a baby dragon, gets detention in the forbidden forest, where he is saved from a strange hooded figure by a centaur, and receives an invisibility cloak for Christmas. He also gets increasingly convinced that the potions master

Professor Snape is trying to steal the Philosophers Stone, an item that can be used to create the elixir of life, in order to resurrect Voldemort. Eventually Harry, Ron and Hermione decide to head past the three-headed dog after Snape to prevent him from getting the stone. They use a flute to put the dog to sleep, get past several obstacles, including a life-size chess board Ron sacrifices himself to get past, and Hermione solves a riddle which allows Harry to get past some magical flames. He finally comes face-to-face with not Snape, but the Defence against the Dark Arts teacher, Professor Quirrell.

In this final chamber Harry is able to get the stone from the Mirror of Erised, a mirror that shows you your hearts greatest desire, and comes once again face-to-face with Voldemort. He is now no more than a shadow, forced to live as only a face on the back of Quirrell's head. He commands Quirrell to take the stone from Harry, but Quirrell is unable to touch Harry without suffering extreme pain. Harry is able to hold him off for a short time before fainting and waking up in the hospital wing. Here Professor Dumbledore explains to him that the stone has been destroyed, and that the reason Quirrell could not touch him was because of a protection laid upon him by his mother when she sacrificed herself to protect him. The same protection prevented Voldemort from killing him in the first place. Both Ron and Hermione also made it out okay and their efforts help Gryffindor win the house cup for the first time in seven years. This concludes Harry's first year at Hogwarts.

2.3.2 Book 2 – The Chamber of Secrets

The second book starts with Harry back at the Dursleys counting the days until he can go back to Hogwarts. He is also wondering why he has not heard anything from any of his friends over the summer, wondering if they have forgotten him. One night, Harry gets a surprise visit from a house-elf named Dobby. Dobby tells him that terrible things are happening at Hogwarts this year and that Harry must not go back. When Harry refuses Dobby runs downstairs and makes a desert crash to the ground. This causes Uncle Vernon to lock Harry in his room. He is rescued from this predicament by Ron and two of his older brothers, the twins Fred and George, who arrive in a flying car “borrowed” from their father. They take Harry to their home, The Burrow, where he spends the rest of the summer. When the day comes to return to Hogwarts Harry and Ron are unable to get through the barrier to platform 9 $\frac{3}{4}$, and in their panic they take Mr Weasley's car and proceed to fly to Hogwarts. When they arrive at the castle, they crash into an extremely aggressive tree called the Whomping Willow and Ron manages to break his wand.

Finally back at school Harry has a new teacher to deal with, Gilderoy Lockhart, who seem determined to drag Harry into the spotlight every time he bumps into him. Soon both Harry and the rest of the castle has bigger things to worry about. The caretaker's cat, Mrs Norris is found petrified next to an ominous message about the opening of the Chamber of Secrets. Harry starts hearing voices in the walls and after a student has also been petrified, he overhears Dumbledore telling McGonagall that the Chamber has been opened again. When it is discovered that Harry is a parselmouth, someone who can talk to snakes, almost everyone believes he is the one behind the attacks. Through a memory in a magical diary Harry learns that Hagrid was expelled for opening the chamber last time. After Hermione becomes the most resent victim of petrification Harry and Ron go to talk to Hagrid, but he is being blamed once again and is taken away to the wizard prison of Azkaban. Before he is taken away he suggest Harry and Ron follow the spiders. When they do they discover a giant, talking spider, from whom they learn that it was not the monster responsible for the attacks and that Hagrid was innocent. With the help of a note they discover clutched in Hermione's petrified hand, they finally realise that the monster is a basilisk, a giant snake.

Before they can act on this information they learn that Ron's little sister Ginny has been taken into the chamber of secrets and that Lockhart will be going after her. Deciding to help him out by telling him what they know, they learn that he is a fraud, so they force him to come with them. Finally getting into the chamber Lockhart tries to wipe their memories with Ron's broken wand which backfires and causes the roof to cave in, forcing Harry to go on alone. Finally reaching the chamber itself Harry finds himself once more face-to-face with Voldemort, this time as the memory of a teenager preserved in the diary. Learning that Voldemort is the heir of Slytherin and the one who opened the chamber last, Harry is faced down by the basilisk. He is helped out by Dumbledore's phoenix Fawkes who brings the sorting hat, from where Harry pulls out the sword of Gryffindor and kills the snake. He then uses one of its fangs to destroy the diary and save Ginny. Both he and Ron receive awards from Dumbledore for the bravery. Harry is able to set Dobby the house-elf free from his masters, the Malfoys, by tricking Lucius, Draco's father, to give Dobby a sock, everyone who was petrified is back to normal and Gryffindor wins the house cup once again.

2.3.3 Book 3 – The Prisoner of Azkaban

Just like the previous book, and in fact every subsequent book in the series, the third book starts with Harry back with the Dursleys during the summer. During a visit from Vernon's sister her rudeness and disrespect towards Harry's parents eventually causes him to snap, and

inadvertently make her inflate like a balloon. Having finally had enough of the Dursleys he storms out of the house. Convinced that he now has gotten himself expelled from Hogwarts he accidentally summons the Knight Bus, a transportation for stranded wizards and witches. During the ride he learns about a man named Sirius Black who has escaped from the wizard prison of Azkaban, the very first to do so. Black was a big supporter of Voldemort back in the day and was imprisoned for killing thirteen people with a single curse. Arriving in Diagon Alley, Harry is greeted by the Minister of Magic himself, Cornelius Fudge, who shows an unusual level of concern for him, and waves away Harry's use of underage magic. Harry spends the rest of the summer living in the tavern and walking the streets of Diagon Alley. Here he also meets up with Hermione and the Weasleys.

When the gang is on the train back to Hogwarts, they end up sharing a carriage with the sleeping Professor Lupin, who they reason must be their new Defence Against the Dark Arts teacher. On the journey the train is stopped and searched by the prison wardens of Azkaban, hooded creatures called Dementors, who suck the happiness out of people. When one enters Harry and friend's carriage, he starts to hear screaming in his head before passing out. They are saved by Lupin who uses some sort of spell to drive the Dementor away. Back at Hogwarts Dumbledore informs everyone that Dementors have been placed at every entrance to the school while the search for Black continues. Lupin quickly becomes the Gryffindors favourite teacher. Harry, Ron and Hermione also start taking Divination classes with Professor Trewlaney, who wastes no time telling Harry that he is cursed with the omen of the grim, a big black dog that signals death. During a quidditch game in a storm the Dementors arrive at the pitch and goes after Harry, which causes him to fall off his broom, and helps convince Lupin to teach him the Patronus spell to defend himself.

Harry is planning to use his invisibility cloak to sneak into Hogsmeade, the local village, since he did not get his uncle to sign the permission form. He is stopped however, by the Weasley twins who presents Harry with the Marauders Map, a map that shows the location of every person in the school at all times. Using it to sneak through a secret passage into Hogsmeade, he overhears Hagrid, Professor McGonagall, Fudge and the landlady at the local pub talk about Black. Here he learns that Black is in fact Harry's godfather, and the one who betrayed them to Voldemort. An ongoing plot of the book is the trial for a hippogriff named Buckbeak who is accused of attacking Malfoy and is in danger of being executed. Ron and Hermione is also involved in an ongoing argument concerning her cat, Crookshanks, and Ron's rat

Scabbers. Eventually Scabbers disappears and Ron is convinced that Crookshanks has eaten him. Scabbers is eventually found, but shortly after a big dog shows up and drags Ron below the Whomping Willow. Following him, Harry and Hermione discover the dog is actually Sirius. Lupin also shows up and it is revealed that it was actually not Sirius that betrayed Harry's parents, but Scabbers, who is not a rat, but Peter Pettigrew, another of Harry's father's school friends.

Intending to take Peter up to the school to clear Sirius' name they are prevented by the transformation of Professor Lupin, revealed to be a werewolf. Peter's escape and Sirius' capture forces Harry and Hermione to use a time-turner to go back in time where they first save Buckbeak and then Sirius. They were not able to clear Sirius' name, but at least Harry knows the truth, and Sirius is back in Harry's life.

2.3.4 Book 4 – The Goblet of Fire

Book four starts with Harry having a dream of Voldemort murdering a muggle in Voldemort's father's old family manor. Soon he is picked up from the Dursleys by the Weasleys to join them for the Quidditch World Cup Final between Ireland and Bulgaria. Harry is impressed by the Bulgarian striker Viktor Krum. After the match, a group of masked people, the death eaters, Voldemort's old followers, causes chaos at the campsite. Somebody also conjures the Dark Mark, the symbol the death eaters used to place above houses after murdering its inhabitants. Back at Hogwarts Dumbledore announces that this year the school will be the host of The Triwizard Tournament, a competition between the three major European schools of magic; Hogwarts, Durmstrang and Beaubatou. While everyone is waiting for the delegations from the other schools arrive, Harry's scar is hurting more and more frequently. He worries that Voldemort is getting stronger. When the tournament is ready to begin, The Goblet of Fire is used as an impartial judge that will select one champion from each school. The champions are Viktor Krum, who it turns out goes to Durmstrang, Fleur Delacour, and from Hogwarts, Cedric Diggory. However, when the champions have been chosen the goblet spits out a fourth name, Harry's. This forces him to take part and makes the entire school believe he tricked his way in, as the Goblet was not supposed to choose anyone under the age of seventeen. Worst of all for Harry, Ron also believes he cheated his way in, and resents Harry for not telling him how he did it, and all the attention it gets him. This causes a break in their friendship. For Harry, the next period is his worst so far at Hogwarts where it feels like everyone is against him.

The tournament consists of three tasks. The first involves stealing a golden egg from a full-sized dragon. Harry gets a tip on how to accomplish this from his new DADA teacher, ex-auror Alastor “Mad-Eye” Moody. Harry completes the task and seeing the very real danger he was in, Ron comes back to his side again. The next task involves Harry having to swim to the bottom of the lake to rescue something precious to him. This turns out to be Ron, but he refuses to leave the other captives, including Hermione, down there. He therefore ends up being the last one to come back, but is rewarded for his high moral fibre, and is in equal first place before the final task.

This final task involves traversing a giant maze that have been grown on the quidditch pitch full of various magical hazards. Eventually there is only Harry and Cedric, the two Hogwarts champions, left, and after fighting off a giant spider they decide to share the victory and take the cup together. When they do they are transported to an unknown graveyard. Here Harry witnesses Pettigrew killing Cedric before binding Harry and using his blood in a ritual to reawaken Voldemort to his full power. After calling his death eaters to him, Voldemort challenges Harry to a duel. When their spells collide, it causes some sort of magical connection that creates spirit images of Voldemort’s most recent murder victims, including Harry’s parents. These “spirits” hold off Voldemort and the death eaters long enough for Harry to grab Cedric’s body and the cup and travel back to Hogwarts.

Before he can tell Dumbledore, he is dragged off by Moody, who it turns out is not Moody, but an undercover death eater using Polyjuice potion. Fortunately, he rambles on long enough for Dumbledore, Snape and McGonagall to arrive and prevent him from killing Harry. Under the influence of truth serum, the fake Moody he explains the entire plan to resurrect Voldemort. Harry then follows Dumbledore to his office where he explains to him and Sirius what happened in the graveyard. Unfortunately Minister of Magic Fudge refuses to believe Voldemort is back. He thinks that Harry and Dumbledore is just making it up.

2.3.5 Book 5 – The order of the Phoenix

Book five begins in a dramatic fashion with Harry and Dudley being the victims of a dementor attack. This forces Harry to use a patronus spell to drive them off. He is accused of underage magic and is made to stand trial to not get expelled. Before that he is taken to the headquarters of the Order of the Phoenix, an organization dedicated to fighting Voldemort and his death eaters. This is in Sirius’ old family home. At the trial Harry is cleared of all charges and allowed to go back to Hogwarts. There he is introduced to the new Defence

Against the Dark Arts teacher, Dolores Umbridge, who has been appointed by Fudge to keep control of the school.

Harry quickly runs afoul of her when she insists that his story about the return of Voldemort is just a lie intended to spread panic. Refusing to back down from her, Harry ends up in detention where he is forced to write 'I must not tell lies' with his own blood. This is an event that occurs multiple times during the year. Having eventually had enough of Umbridge's lack of teaching, Harry, Ron and Hermione establish a secret organization they call Dumbledore's Army, where Harry helps teach many of his fellow students. He also gets into a brief relationship with Cho Chang, Cedric Diggory's ex-girlfriend. Harry is also having frequent dreams about a mysterious corridor ending in a locked door that he can never get through. He is convinced that he is somehow seeing Voldemort's thoughts. This is confirmed when he witnesses an attack on Mr. Weasley that really happened. After this he spends some time believing that he is somehow being possessed by Voldemort, but his friends help him to snap out of it.

This connection with Voldemort causes Dumbledore to instruct Snape to teach Harry occlumency, the art of blocking your mind from outside influence, as he believes Voldemort might want to use this connection. Harry is terrible at this, which proves fatal when he falls asleep during an exam and sees Voldemort torturing Sirius in the room beyond the locked door. Convinced his godfather is in mortal danger Harry rushes off to the ministry and the department of mysteries to rescue him, together with Ron, Hermione, Ginny, Neville and Luna Lovegood. When they get there, it turns out the vision Harry saw was not real, but a trick to lure him in. What Voldemort is after is a prophecy, and only the ones it concerns can remove it from its place. Harry and friends manage to hold off the death eaters long enough for members of the order to arrive, but in the resulting battle, Sirius is killed. Harry is witness to an epic battle between Dumbledore and Voldemort, who unable to land the finishing blow, tries to possess Harry, but is unable to.

Back in Dumbledore's office the truth is revealed to Harry. The reason Voldemort came after him in the first place was a prophecy saying that "*the one with the power to challenge the dark lord approaches.*" (Rowling pp. 924) Dumbledore also reveals that the prophecy declares that "*neither can live while the other survive*" (Rowling pp. 924). This means that either Harry or Voldemort will have to kill the other in the end. The one good thing that did

come out of this ordeal was that Voldemort was seen in the ministry, so no one questions Harry's story anymore.

2.3.6 Book 6 – The Half-Blood Prince

Book six opens with a scene of Malfoy's mother, Narcissa, and her sister Bellatrix going to visit Snape. Narcissa is worried about Draco who has been given some kind of task by Voldemort. She thinks this is a punishment for her husband's failure to acquire the prophecy and asks Snape to look out for Draco and finish the task if Draco is unable to. When we meet Harry, he is waiting in Privet Drive for a visit from Dumbledore. When he arrives, Dumbledore informs Harry that Sirius has left him all he owned. He also asks Harry to accompany him on a trip to convince a former teacher, Professor Slughorn, to come out of retirement. He succeeds in this and Dumbledore informs Harry that Slughorn has an interest in "collecting" witches and wizards that he considers special. Dumbledore also tells Harry that he will be giving him special lessons this year.

In Diagon Alley Harry, Ron, and Hermione spot Malfoy sneak off on his own into Knockturn Alley, a place dedicated to the dark arts. He threatens the owner of one of the shops into helping him repair something. This experience convinces Harry that Malfoy has taken his father's place as a death eater, although Ron and Hermione are not convinced. Back at Hogwarts Harry learns that Slughorn is going to be teaching Potions. Defence Against the Dark Arts, will be taught by Snape, who has finally been given the job. Because of this Harry is now able to resume Potions, and his dream of becoming an Auror. Since he doesn't have the textbook he has to borrow one of the school's books which has been copiously written in. This annoys him at first, but then he discovers that whoever has written in the book provides much better instructions than the book's author. He also finds an inscription recognising the book as the property of the Half-Blood prince.

The private lessons with Dumbledore involves learning about the young Voldemort through memories. Harry learns about Voldemort's wizard family, the Gaunts, he sees Dumbledore's first meeting with him, and how he was at school. The most important memory however is one of Slughorn's, which Dumbledore needs Harry to extract. After quite a lot of work he finally manages to make Slughorn give it up. The memory reveals that Slughorn gave the young Voldemort information about Horcruxes, items used to store a part of your soul. This is what Voldemort has done, and why he did not die when the killing curse used on Harry backfired. Dumbledore recons that Voldemort made six Horcruxes, two of which have

already been destroyed, his diary, and a ring that Dumbledore destroyed during the summer. According to Dumbledore these are most likely items associated with the Hogwarts founders as well as his snake Nagini.

Dumbledore eventually tracks down the hiding place of one of these Horcruxes and he and Harry set off to recover it. The journey takes them to a seaside cave containing a massive underground lake. The horcrux is in a basin on a pedestal in the middle of the lake, but in order to get it you have to drink some kind of horrible potion. Dumbledore drinks the potion and they recover the locket hidden within, but Dumbledore is significantly weakened. When they get back to Hogwarts, they discover it is under siege by death eaters who have been snuck in by Malfoy. His mission was to kill Dumbledore, but although he has him cornered and wandless, he cannot bring himself to do it. Eventually Snape shows up and kills Dumbledore. Enraged, Harry sets off after him and during a very brief duel, he learns that Snape is the Half-Blood Prince. Dumbledore is buried, and Harry, Ron and Hermione decide not to go back to the school next year but go looking for the remaining Horcruxes instead.

2.3.7 Book 7 – The Deathly Hallows

The final book begins with a plan to bring Harry safely away from Privet Drive, as he is now turning seventeen and the protective spell placed on him by his mother's sacrifice will stop working. Unfortunately, Voldemort is also aware of the plan. The one aspect of the plan Voldemort did not know about was the idea to use Polyjuice potion to create several identical Harrys. This does help the plan succeed, and Harry arrives safely at the Burrow, but George loses an ear, and Mad-Eye Moody is killed.

Harry plans to stay at the Burrow until after the wedding between Ron's older brother Bill and Fleur Delacour before he, Ron and Hermione will set off in search of the remaining Horcruxes. In the middle of the wedding they learn that the minister of magic has been killed and that Voldemort has seized control. Harry, Ron, and Hermione are able to escape for a while, but after a botched attempt to break into the ministry they are forced to go on the run. They were able to get hold of the real locket Horcrux, as the one Harry and Dumbledore found last year was fake, but they do not have any way to destroy it. Eventually Ron has had enough and leaves, leaving Harry and Hermione to continue the search on their own. During a visit to Godric's Hollow, the village where Harry lived with his parents, they have a run in with Voldemort's snake Nagini, and Harry's wand is broken.

Just as things are looking their worst Harry spots a doe-shaped patronus while keeping watch one night. He follows it and finds a pond, in which he discovers the sword of Gryffindor, one of the things that can destroy a Horcrux. Diving down to retrieve it he is nearly choked by the locket but is pulled out by Ron who has come back again. Harry uses parseltounge to open the locket and Ron stabs it. Shortly after they hear the story of the three brothers and their acquiring of the three Deathly Hallows, three legendary objects said to make the owner 'master of death.' They are the elder wand, the resurrection stone, and the invisibility cloak. Realising that he is in possession of one of the hallows, Harry concludes that Voldemort is searching for the elder wand. They are also briefly held captive in Malfoy manor. They escape, break into Gringotts to steal another Horcrux, but lose the sword in the process.

Seeing a vision of Voldemort understanding that they are searching for Horcruxes, Harry learns that the final one, other than the snake, is located at Hogwarts. They arrive in Hogsmeade, where Dumbledore's brother Aberforth saves them from the death eaters and help them sneak into the castle. Once there, they meet up with most of the other members of Dumbledore's Army, as well as the Order of the Phoenix. It is decided that they will fight Voldemort and the death eaters to give Harry, Ron and Hermione the time they need to find the Horcrux. They eventually do, and both Horcruxes are destroyed, leaving only the snake. Listening in on Voldemort they witness him killing Snape to gain complete control of the elder wand. A dying Snape gives Harry a set of memories to experience. In these he discovers that Snape and his mother were childhood friends and that Snape loved her very dearly. When he discovered Voldemort's plan to kill her, he switched sides and started working for Dumbledore. It was Dumbledore who told Snape, that he had to kill him, so that Malfoy did not have to. He also tells Snape, and a watching Harry, that a piece of Voldemort's soul latched on to Harry. Harry is therefore an unintentional Horcrux, and must die before Voldemort can be destroyed.

Harry understands and accepts this fate and goes to meet Voldemort in the forest. Here he is struck by the killing curse and ends up in a strange place where he meets Dumbledore. Dumbledore gives him a choice between moving on or go back, and Harry decides that as long as the snake is alive, Voldemort will remain. He wakes up again, but is able to fake continued death, until he can put on the invisibility cloak. Neville uses the sword of Gryffindor to kill the snake, and Harry finally confronts Voldemort. Knowing that he is the true master of the elder wand and that it cannot hurt its true master, he reflects Voldemort's

killing curse back at him. This brings his reign to an end at last. Harry then uses the elder wand to repair his own before putting the elder wand back where it belongs, in Dumbledore's tomb.

Finally, the story skips nineteen years and we meet an adult Harry as he sees his own kids off to Hogwarts.

3. In Theory

In this section I will provide an overview of the different research and theory that has been used in this thesis. It will be divided in two sections, one covering the primary theory, and one the secondary. It should be noted that these are only short summaries, and for many of the texts mentioned here more detailed descriptions are provided in their relevant chapters.

3.1 Primary Theory

3.1.1 Edward James: Tolkien, Lewis and the explosion of genre fantasy

The first theory comes from the already mentioned essay by Edward James; *Tolkien, Lewis and the explosion of genre fantasy*. In this essay, published in 2012, James looks into the impact that the two had on the development and growth of the fantasy genre, not only through books, but also through other mediums like film and Role-Playing Games. Focusing on what James writes about Tolkien, one of the first important arguments concerns Tolkien's ideas of the order in which the different aspects of his stories were created. His argument is that Tolkien's focus was on languages and what they revealed about the way people thought in the past (James, pp. 63). Quoting from Tolkien's own letters James presents his argument: "*The invention of languages is the foundation. The 'stories' were made rather to provide a world for the languages than reverse*" (Tolkien, quoted in James, pp. 63). Based on this remark it is clear that Tolkien placed great importance in the role that language plays in his stories. This plays directly into the purpose of this thesis since it makes clear that in process of comparing the work of Rowling to Tolkien the role of language cannot be overstated.

James can also be used for the literary comparison. He demonstrates how LOTR establishes many of the typical characteristics of fantasy. Amongst them James mentions Thinning, where the world of the story is on a decline from how it used to be, due to the actions of the Dark Lord, Sauron in the case of LOTR. This has contributed to a sense of Wrongness, and the need for Healing, which is the background for the Quest that the heroes most undertake. Over the course of this journey each character achieves Recognition, or "*an awareness of their own role in the story of the world*" (James, pp. 64) before finally reaching Eucatastrophe, a term developed by Tolkien himself, which will be explained in greater detail later.

All of this has clearly shown the influence Tolkien had on the development of fantasy, but according to James his biggest accomplishment was actually the normalization of the concept of the secondary world. Quoting John Clute from the *Encyclopaedia of Fantasy* who says that: "*LOTR marked the end of an apology*" (James, pp. 65), James' argument is that after

LOTR writers of fantasy no longer had to explain away their created world by calling them dreams, traveller's tales or giving them some form of link to the real world (James, pp. 65). The essay also provides plentiful discussion about another piece of Tolkien's writing, the already mentioned *On Fairy-Stories*. Describing its importance and prominence James claims that:

Arguably this essay has been as influential as LOTR itself in the construction of modern fantasy. But in fact the two are inseparable. LOTR is Tolkien's realisation of the principles he laid down in 'On Fairy-Stories', and arguably helped him to carry on LOTR to the end. (James, pp. 66)

The final part of the essay that will be touched upon is James' comments on the influence Tolkien (as well as Lewis) has had. Here he showcases not only the positive but also the negative. He showcases how many authors deliberately made works of fantasy that were as far removed from Tolkien and Lewis as they could make it. He also details the commercial development of fantasy and its move into different forms, like film and gaming. However it seems clear that James' argument is that whether it is through emulating, or indeed rejecting their ideas the influence from Tolkien and Lewis will always remain visible, underlined by this quote: "*the traces of Tolkien's and Lewis's influence will always be visible, through both emulation and rejection,*" (James, pp. 77). This is the important part for the purposes of this thesis, as the comparison with Rowling will illustrate whether James was right.

3.1.2 Tolkien: On Fairy-Stories

Many of James' arguments in his essay are based on quotations from Tolkien's own essay *On Fairy-Stories* mentioned in the section on relevance. As stated, in this essay Tolkien lays out his arguments for the purposes of fantasy, that it offers escape from our world into one where the troubles of our world do not exist. He also explains what he believes are the core elements in a good fantasy, or fairy story:

Far more important is the Consolation of the Happy Ending. Almost I would venture to assert that all complete fairy stories must have it. (...) It is the mark of a good fairy-story, (...) that however wild its events, however fantastic or terrible the adventures, it can give to child or man that hears it, (...) a catch of the breath, a beat and lifting of the heart (Tolkien, pp. 62).

A good fantasy story to Tolkien is then one that has a happy ending, an ending that provides a sense of relief and upbeat for the reader. This is what he refers to as Eucatastrophe.

3.1.3 Susan Mandala: Language in Science Fiction and Fantasy

For the chapter on archaic language, *Language in Science Fiction and Fantasy* by Susan Mandala will be the primary source. The overall goal of the book is to challenge the notion that the style of language in these genres tend to be of lesser quality. Chapter three, titled *Evoking the Past*, explores how the use of old or outdated words and phrases are an effective means of situating the text in an older time, and how this process requires a considerable amount of skill in order for the language to remain comprehensible for the reader.

3.1.4 Oliver Traxel: Exploring the Linguistic Past through the Work(s) of J.R.R. Tolkien

For the linguistic aspect of this thesis Oliver Traxel's essay: *Exploring the Linguistic Past through the Work(s) of J.R.R. Tolkien: Some Points of Orientation from English Language History* was a major source. It is part of a collection of essays released in 2017 called: *Binding Them All: Interdisciplinary Perspectives on J.R.R. Tolkien and His Works* edited by Monika Kirner-Ludwig, Stephan Køser and Sebastian Streitberger. The essays come from the Tolkien-lecture-series that took place on the University of Augsburg in 2014. Traxel explores the origins of many of the words and names of *The Lord of the Rings* and argues that Tolkien "saw an inseparable connection between language, literature and history" (Traxel, 2017, p.297). The essay traces the origins of many of the names of people, places and objects found throughout Tolkien's works, and shows how he drew inspiration from many different sources, including Old English, Anglo-Saxon runes, and Norse.

3.1.5 Dimitra Fimi: Later Fantasy Fiction & Christopher Garbowski: Evil

These are the two chapters that form the background for the chapter on evil. They are both taken from the book *A Companion to J.R.R. Tolkien* by Stuart D. Lee. In her chapter Fimi charts some key aspects in the evolution of fantasy since Tolkien. The final part concerns modern fantasy writers and here she relates Rowling to Tolkien in terms of their shared interest in evil, death, and immortality. Meanwhile, Garbowski looks specifically at evil in Tolkien in relation to other elements of his writing. He covers topics such as war, sub-creation and evil and history.

3.2 Secondary Sources

In addition to these, several other sources were used to varying degrees. The quote from Le Guin used as part of the theoretical relevance came from *The Language of the Night: Essays*

on *Fantasy and Science Fiction*. The definition of close reading and background information on New Criticism came from *A Glossary of Literary Terms*, with Jonathan Culler providing the argument on close reading's continued relevance. The definitions found in chapter 2 of the thesis was provided by a few different authors. The definition of High Fantasy was found in chapter one of Mandala's book. Quest Fantasies is explained by W.A. Senior in his essay of the same name, published as part of the same collection as James' essay. For Portal Fantasies the definition is taken from Farah Mendelsohn's book *Rhetorics of Fantasy*.

In addition to his work on the names of Tolkien, Oliver Traxel was also used as a source in the chapter on archaic writing. His essay *Pseudo-Archaic English: The Modern Perception and Interpretation of the Linguistic Past*, looks at the history of pseudo-archaic writing and the research on it. This provided extra contextualization on Rowling's use of pseudo-archaic writing. Several different Latin translators were also employed for spell-names here.

For the chapter on names the majority of the information on HP comes from Rowling's own writing, which can be found on www.wizardingworld.com. David Colbert's book *The Magical Worlds of Harry Potter* also contributed to some information for the names of HP.

4. Archaic writing

This chapter will focus on the different styles of writing present in the two series and discuss why Tolkien and Rowling employs these different styles. The primary focus will be on so-called archaic forms of writing, where an author makes use of words, spellings or grammar that are no longer in use.

I will start by providing some theoretical background for archaic writing. This theory will then be used to compare a selection of passages and conversations from LOTR and HP and how they use, or do not use archaic forms. The hypothesis here is that this is an area where there might be differences between them.

4.1 Theoretical background

The theoretical background for this section will be the chapter 'Evoking the past' from Susan Mandala's *Languages in Science Fiction and Fantasy*. This chapter aims to explore how archaic forms are used in fantasy, and reflect over the way they are typically seen by literary critics.

4.1.1 What is archaic language?

The definition employed by Mandala purports that "*Archaic forms, generally called archaisms, are words or constructions retained from an earlier period of the language but no longer in general use*" (Mandala pp. 71). Classical examples of archaisms include second person singular pronouns, the use of -est and -eth verbal inflections, and irregular forms. While the use of archaic forms today is relatively rare, Mandala makes note of the fact that fantasy is one of the few places where they still survive, even thrive.

4.1.2 A non-standard language

When examining archaic forms, there is another characteristic to keep in mind, in addition to their rarity. This is that they appear non-standard from the perspective of a modern user of English. Certain archaisms do occasionally appear in educated speech, but their outdated grammar and obsolete syntax complicates any attempt to use them in modern language. What archaisms does however, is show a clear distinction from the frequent argument that fantasy is characterized by a plain, common language, exemplified by Irwin's argument that "*fantasy's primary goal is to persuade, it must convey its fantastic content in straightforward, ordinary, easy-to-accept language*" (Irwin, in Mandala pp. 76). This view is too narrow for Mandala. Instead she puts forward the argument that archaisms not only occur in fantasy texts, but play a significant role. This argument will be examined next.

4.1.2 A window to a past world

What Mandala argues is that archaic forms appear frequently in fantasy, but that they are rarely appreciated, with critics often being unimpressed with their mix and match nature. Many also argue that it is not worth the effort to include them, as audiences will often find them difficult to read.

This is where the core of Mandala's argument comes into play. She argues that the frequent use of archaic forms in fantasy is in fact a very conscious decision, one that is made to give the idea of the past. Her claim is that the presence of these forms are instrumental in situating the reader in the past world of the story. (Mandala pp. 78) That forms originally separated by centuries can appear side by side does not really matter, considering most modern readers would not be able to recognize these inconsistencies. What readers will recognize however, is that the existence of archaic forms are different to their modern use of the language. In this they are effective at distancing the world of the text from the world of the reader, and play an important role in presenting the past world of the text as coherent.

Another aspect of archaic speech that Mandala makes note of, is that not only do they give the reader a window to the past, they also strengthens the belief that the members of the story naturally belongs in this past world. Here she refers to Taavitsainen and Jucker who made note of the fact that speech acts are unique to specific times and cultures. Different communities throughout time all have their own "*distinct inventory of speech acts*" (Mandala, pp. 80). As such, the idea becomes that characters wearing helmets, and fighting with swords and shields, need to speak in a style and terms appropriate for their setting. Particularly important to maintaining this understanding are terms of address. Not only do they provide context to the social factors at play in a conversation, they provide information about the structure of the society, for instances what kinds of hierarchies that exist. Examples of this might include referring to important or noble characters by their rank or title, using words like *sir, my lord/lady, my liege* etc. It can also appear as strangers referring to each other as master or friend.

Another role played by terms of address is signalling intimacy or distance between people in conversations. They can be used both to illustrate the existing statuses, or to show how these evolve over the course of a story. Terms of address can also be used in a strategic manner, for instance to give status to someone to show respect. This type of use is also important in presenting the characters as "*active participants in a coherent speech community come to life*

from the past” (Mandala pp. 82), meaning they do not merely use archaisms to sound fancy, but because it is a natural part of their culture. In addition to terms of address, another type of archaisms effective in creating this past world are hellos and goodbyes. Archaic examples of this include expressions like Hail and Greetings for saying hello and Fare you well when saying goodbye.

4.1.3 To distance language without sacrificing understanding

As has now been demonstrated, the use of archaic forms in fantasy are neither rare nor shallow. They are not random, but in fact key elements in the founding of the illusion of a past world come to life. However, they are also a divergence from the modern-day English that readers are familiar with. As such, they have the potential to create barriers of understanding. The key for texts making use of archaic forms is to create a language different enough from that of the reader’s own to persuade without preventing the ability to follow along with the narrative.

One example Mandala uses when showcasing how this goal can be achieved by fantasy, are deviant clause patterns. When writing English one of the most important objectives is to make sure there is a clear distinction between subject and object in a sentence in order for the reader to quickly understand who or what is acting, and who or what they act upon. In modern English, this is mainly done by the order of elements in a sentence, with the general rule being that the subject comes first, then the acting verb, followed by the object. As we shall see later, disrupting this order is an effective means of differentiating the language, without sacrificing understanding.

4.1.4 Intermediate style

Mandala also mentions another means of distancing language without sacrificing understanding. This is to alternate the archaic style with a style neither fully archaic, nor obviously contemporary. A common way to do this is to use modern English written in a formal style, as Formal English’s lack of aspects such as “*slang expressions, expletives, interjections, and conversational idioms*” (Mandala pp. 91). Formal English also commonly make use of more complex syntax and typically avoids contractions. When describing this Mandala borrows a term from Shippey who referred to this as an intermediate style; that is a style that while containing few to no archaisms, also lacks any features that would clearly place it as a modern English.

Of particular interest to this thesis is that Tolkien himself made note of this in one of his letters. Here he refers to a passage from LOTR where King Théoden of Rohan talks with Gandalf and compares it to a possible modern version of the conversation.

‘Nay Gandalf!’ said the king. ‘You do not know your own skill in healing. It shall not be so. I myself will go to war, to fall in the front of the battle, if it must be. Thus shall I sleep better.’ (Tolkien, pp. 677)

For comparison, Tolkien’s modernized version reads like this:

‘Not at all, my dear G. you don’t know your own skill as a doctor. Things aren’t going to be like that. I shall go to war in person, even if I have to be one of the first casualties ... I should sleep sounder in my grave like that rather than if I stayed at home.’ (Tolkien 1955, quoted in Mandala pp. 92)

It is obvious that while neither of these versions relies on the use of archaic forms, the modernized version, written in a style much closer to that of the reader, is far less effective in providing the illusion of the past world come to life.

The final form of intermediate style mentioned concerns references to time. Instead of having characters use expressions such as *What’s the time? Quarter to, A Fortnight ago* etc. they might instead ask what the hour is or say that something happened fourteen days past. While these kinds of references might seem insignificant to the overall story, they are nevertheless an important tool in maintaining the past world without making barriers for the reader.

4.1.6 Pseudo-archaic writing

In addition to this chapter, the essay *Pseudo-Archaic English: The Modern Perception and Interpretation of the Linguistic Past* by Oliver M. Traxel will also be consulted. The primary argument of this essay is that most modern writers make use of a so-called pseudo-archaic style of writing. This is a style where different archaisms that might be historically separated by hundreds of years, are all mixed together, with the understanding that most modern readers will not be able to tell them apart. The essay covers multiple different aspects, but for the purposes of this chapter, it is primarily the section on vocabulary that is of importance. In this section Traxel explains why vocabulary is one of the biggest fields of study in the pseudo-archaic field. This is often due to these kinds of texts making use of words that still exist today but are no longer in active use. Modern meanings might also be applied to older words,

or a modern word might have its spelling changed to appear more archaic. This last one is something that can be found, as we shall see later, with many of the names of spells in HP.

4.2 Tolkien

Having covered the theoretical background for this chapter it is time to start looking at how Tolkien and Rowling make use of archaic and pseudo-archaic language. One thing to make note of first however, is that Tolkien was writing in a different time from now. As such, words and sentence structures that might appear archaic to the modern reader would be natural to Tolkien's contemporaries. As my knowledge of this is limited, I will concentrate my efforts on those instances where there are very obvious use of archaisms.

I will divide this section in two, first examining LOTR before moving on to HP. At the end I will provide some thoughts and reflections on what I have shown off. The first example I want to highlight is a conversation taking place in a tavern in Hobbiton. Following is an extract from that conversation.

'Queer things you do hear these days, to be sure,' said Sam. 'Ah,' said Ted, 'you do if you listen. But I can hear fireside-ales and children's stories at home, if I want to.'
'No doubt you can,' retorted Sam, 'and I daresay there's more truth in some of them than you reckon. Who invented the stories anyway? Take dragons now?' 'No thank 'ee,' said Ted, 'I won't. I heard tell of them when I was a youngster, but there's no call to believe in them now.' (Tolkien, pp.58)

Contrast this to the song sung by and manner of speaking of the elves Frodo, Sam, and Pippin encounter later:

Gilthoniel! O Elbereth! Clear are thy eyes and bright thy breath! Snow-white! Snow-white! We sing to thee In a far land beyond the Sea. O stars that in the Sunless Year With shining hands by her were sown, In windy field now bright and clear We see your silver blossom blown! (...) 'Hail, Frodo!' he cried. (...) 'I am Gildor,' answered their leader, the Elf who had first hailed him. 'Gildor Inglorion of the House of Finrod. We are Exiles, and most of our kindred have long ago departed and we to are now only tarrying here a while, ere we return over the Great Sea.' (Tolkien, pp. 104/105)

As we can see, there is a big difference between these two conversations. The hobbits talk in a much more rural, contemporary style. There are many contractions, and even an instance of dialectical variation. This illustrates how the hobbits are in many ways a simple people. They

are the closest we get to modern style, with their way of living and talking not too different from the farmers and villages of Tolkien's own time.

The elves on the other hand, talk in a very formal manner, with an old-fashioned sentence structure. They also use archaic words like hail and ere, and in the song they are singing they use thy and thee. I believe the reason for this is to show how the elves are far older beings, remnants of an age that is passing.

The next two examples that I want to highlight both comes from the second book, *The Two Towers*. The first of these is Aragorn talking to himself and pondering what to do after the death of Boromir.

'Alas!' said Aragorn. 'Thus passes the heir of Denethor, Lord of the Tower of Guard! This is a bitter end. Now the company is all in ruin. It is I that have failed. Vain was Gandalf's trust in me. What shall I do now? Boromir has laid it on me to go to Minas Tirith, and my heart desires it; but where are the Ring and the Bearer? How shall I find them and save the Quest from disaster?'

 (Tolkien, pp. 538)

In this passage we see Tolkien rely on a different type of strategy to create his archaic language. While there are some words, like alas, vain and shall, that are not the most commonly used today, it is through the structure and flow of the sentences that the archaic feeling is created.

The next quote is from when Gandalf, Aragorn, Legolas and Gimli arrive in Edoras, and meets the King of Rohan, Théoden. His and Gandalf's interactions shows much of what Mandala refers to in her book.

'Hail, Théoden son of Thengel! I have returned. For behold! the storm comes, and now all friends should gather together, lest each singly be destroyed.' (...) 'I greet you,' he said, 'and maybe you look for welcome. But truth to tell your welcome is doubtful here, Master Gandalf. You have ever been a herald of woe. Troubles follow you like crows, and ever the oftener the worse. (...) But news from afar is seldom sooth. Here you come again! And with you come evils worse than before, as might be expected. Why should I welcome you Gandalf Stormcrow? Tell me that.'

 (Tolkien, pp. 669)

In this passage it is primarily the terms of address that I want to highlight. Gandalf greets Théoden with the word hail, as well as referring to his familial connection. He meanwhile calls Gandalf master, and gives him the derogatory title of Stormcrow. There are other archaisms in the passage as well. Using sooth instead of truth and describing Gandalf as a herald of woe are both examples of the use of archaic words and descriptions.

Théoden is in general a good source of archaisms. In addition to the ones already mentioned he refers to Éowyn and Éomer as “*sister-daughter*” (672) and “*sister-son*” (676) instead of niece and nephew. When describing his state of mind, he says that “*Dark have been my dreams of late*” (673). Here he is switching around the word-order from what one would expect to find in our contemporary style. He also tells Gandalf how “*I would now that you had come before, Gandalf.*” (673) where he uses would in the old meaning of wish. Other characters also references to the passage of time in different manners, like when Legolas upon arrival in Edoras and the discovery of the burial-mounds of the Kings of Rohan tells how: “*Five hundred times have the red leaves fallen in Mirkwood in my home since then*” (662) instead of just saying that it has been five hundred years.

In addition to the examples listed here and countless others, the vast majority of LOTR is written in the intermediate style mentioned earlier. The example from Tolkien’s own letters mentioned above illustrates perfectly why this was so important to him. Also, compared to the first passage from the hobbits, in addition to helping immerse the reader in the past world of the story, it provides an effective way to differentiate the simple, easy-going lives of the hobbits from the troubles of the world outside.

4.3 Rowling

When looking at HP it becomes immediately evident that there is next to no use of true archaic language. This is natural due to the fact that the story ostensibly takes place in our modern world. What Rowling does however, is to use language, and specifically styles of speaking to differentiate between the young main characters and the adults. Two examples of this is Harry’s conversation with Dumbledore and the one with Ron and Hermione after Quirrell’s defeat.

‘To one as young as you, I’m sure it seems incredible, but to Nicholas and Pernelle, it really is like going to bed after a very, *very* long day. After all, to the well-organized mind, death is but the next big adventure.’ (...) ‘So the Stone’s gone?’ said Ron finally. ‘Flamel’s just going to *die*?’ ‘That’s what I said, but Dumbledore thinks that –

what was it? “to the well-organized mind, death is but the next great adventure”.’ ‘I always said he was off his rocker,’ (...) Yeah, Dumbledore’s barking, all right,’ said Ron proudly. (Rowling, pp. 215/218-219)

This passage illustrates the trend that appears throughout the entire story, where the various figures of authority, in this case Dumbledore, speak in a much “cleaner” and formal manner. This manner of speaking in my opinion certainly falls in under the intermediate style that was explained earlier. While there is the occasional contraction, in this case Dumbledore saying ‘*I’m*’ instead of ‘*I am*’, these are rare, and for the most part none-existent. This is contrasted to Harry and friends, who talk much more informal, with particularly Ron using slang and contractions, calling Dumbledore ‘*barking*’, and ‘*off his rocker*’. It is of course difficult to say for certain just how much thought Rowling put into this aspect of her writing, but it seems clear to me that at the very least the decision to differentiate the speech of the adults and kids was an intentional one.

The last aspect that will be looked at briefly in this chapter is what was eluded to when talking about pseudo-archaic language. That is spell-names. In Rowling’s books, most spells that do not simply have English names or descriptions can be divided in two categories. The first of these are English words, often describing the effect of the spell, made to appear more archaic, specifically Latin. We see this with ‘*expelliarmus*’ which comes from the word *expel*. This spell is used to knock the wand out of your opponent’s hand. Other examples include *wingardium leviosa* (wing, levitate) for making objects fly, and *obliviate* (oblivious) the memory-altering spell. In addition, the killing curse, *Avada Kedavra*, is an archaic-sounding twist on the classic magical words, *Abra Kadabra*. The other category are spells whose names are straight up Latin. These are also some of the only instances of true archaic language in Rowling’s work. Examples of the second include *protego*, (to protect/protecting) the shield spell, *bombarda*, (cannon¹) a blasting spell, and *crucio*, (I torture) used for magical torture.

4.4 Final Reflections

Having now looked at both LOTR and HP I want to provide some final reflections around similarities and differences between them. These reflections will centre around how what has been looked at in this chapter fits with the overall question of the thesis. As a quick reminder

¹ All Latin translations are cross-referenced from four different online dictionaries. In the case of *bombarda*, two translated it as *cannon*, while the others produced no results

this was the claim by Edward James that all fantasy after Tolkien is either based on, or deliberately distances itself from his works. As I have shown in this chapter the way Tolkien and Rowling makes use of language is quite different. However, as pointed out, this is largely to do with the different contexts that the stories take place in. While Tolkien's universe is a true secondary world, Harry's adventures are much closer in style to that of the portal quest² Not only that, for while Tolkien's Middle-Earth has a distinct medieval feel and style to it, Rowling's takes place in our modern world. (This is confirmed by amongst other things by Harry and Hermione's visit to the grave of Harry's parents in DH, which establishes their time of death as Halloween 1981).

Overall then it is my argument that the differences in style showcased in this chapter is not due to any clear decision by Rowling to actively separate her work from Tolkien. It has much more to do with the different settings of their stories demanding different manner of speaking. Much as Tolkien's letter showed how silly LOTR would seem in modernized writing, the characters of HP would too me seem equally ridiculous if they were to speak in the manner of Tolkien. I have also shown what I believe are clear instances of Rowling understanding the importance of differences in language style. These examples have shown how Rowling, though perhaps more subtle and not as overtly as Tolkien, is still able to use different styles of language to great effect.

² See page 10

5. On the Origins of Names

When comparing Rowling and Tolkien one of the most interesting aspects concerns their naming. How do these two authors create names and words that serves function in their world and stories? This is what this chapter will investigate. The goal will be to showcase where they draw their inspiration for names from and discuss similarities and differences in their approaches. The chapter will be divided into two primary sections. The first will present a selection of names from each author, their origin and where and how they are used in the stories. The second section will provide the discussion. This approach was chosen to highlight the individual author's style and provide an effective structure for a comparison. A complete table of the names discussed will be provided in the appendix.

5.1 What's in a name?

5.1.1 Lord of the Rings

This section will examine some of the names in *Lord of the Rings*. Here names will be grouped together based on the relations of the characters. The information in this section comes from *Exploring the Linguistic Past through the Work(s) of J.R.R. Tolkien: Some Points of Orientation from English Language History*, which is Olive Traxel's essay on the origin and inspirations behind the names of Tolkien's Middle-Earth.

Frodo: The name of the ringbearer is inspired by the old English word *frod*, meaning wise, which becomes *froda*, 'the wise one', when used as a weak adjective (Traxel, pp. 293). As Frodo is considered amongst the wisest and bravest of all the hobbits this seems a most apt inspiration.

The name of Frodo's trusty companion, **Samwise** is made up of two different elements from old English, the prefix *sam-* meaning half, and *wis*, meaning wise (Traxel, pp. 293). *Samwise* then becomes *halfwise*, which could be seen as showing how Sam has a more simple mind than Frodo, but still possesses his own form of wisdom.

Peregrin, 'Pippin' and Meriadoc, 'Merry': Unlike Frodo and Sam, the other two hobbit members of the fellowship do not derive their names from old English. *Peregrin* comes from the Latin word *peregrinus*, meaning wanderer. His nickname *Pippin* meanwhile, frequently shows up in record of the Carolingian dynasty, most prominently as the name of Charlemagne's father (Traxel, pp. 294). The choice of naming him after a ruler could be seen as alluding to how Pippin himself eventually becomes the Thain of the Shire. For Merry, his

full name might be inspired by the mythical figure Conan Meriadoc who is said to be both the founder of Britany and ancestor of the House of Rohan (Traxel, pp. 294). This could be further referenced in the fact that Merry ends up in the service of the King of Rohan. This brings us neatly into the next group, which will examine the names of the people of Tolkien's Rohan.

Éo: A prefix common in the names of the people of Rohan, derived from the old English word for horse, eoh (Traxel pp. 294). As the people of Rohan was known as great horse lords, it is a very fitting use. The prefix appears amongst others, in the name of the siblings **Éomer**, (mere=mare) (Traxel, pp. 294), and **Éowyn**, (wynn=joy) (Traxel, pp. 294), niece and nephew of the King. It is also used in the name of the ancestral race of the Rohirrim, **Éothéod**, (théod=people,) so literally horse-people (Traxel, pp. 294).

Théoden: The name of the king of Rohan is a modernized spelling of an old English word which means ruler (Traxel, pp. 279). This is one out of many examples of characters whose names come from old English and signify key aspects of who they are. Other examples include his father **Thengel**, another name for ruler (Traxel, pp. 295), and his servant **Grima**, which means mask (Traxel pp. 295), and who secretly serves Saruman. The Rohirrim also has a term for themselves, **Eorlingas**, which translates as descendants of Eorl (Traxel, pp. 295). **Eorl** itself has the meaning of warrior or nobleman (Traxel, pp. 295). The next and last group to be examined are the magical beings of Middle-Earth.

Saruman: One of the wizards of Middle-Earth, who is originally aligned with the forces of good, but who turns on them and attempts to take the Ring for himself, his name translates as skill-man. The interesting thing is that the old English element of the name, searu or saru, might have either a positive or negative connotation (Traxel, pp. 295). This is a clever reflection of the fact that Saruman's allegiance shifts during the course of the book. That his name also means skill could also be related to how Saruman's greatest weapon is his ability to influence the minds of others through his speech.

Shelob and Shadowfax: The names of the giant spider that lives in Cirith Ungol, Shelob, and Gandalf's horse, Shadowfax are two examples of Tolkien combining modern forms with extinct words. (Traxel, pp. 295) In the case of Shelob Tolkien unites the singular female pronoun she with a Middle-English spelling of the old English word for spider, lobbe. Shadowfax meanwhile combines shadow, the modern spelling of the Old English sceadu, and

fax, which is an extinct word that translates as hair in Old and Middle-English, but in the Old Norse cognate it was used for mane.

Gandalf: The leader of the fellowship, and dear a friend to both Frodo and Bilbo, Gandalf's name is the only one examined that does not come from Old English. Instead it is based on the name Gandálfr, translated as staff-elf. The name appears in the section of the Old Norse collection the *Elder Edda* known as *Dvergatal*, or "Tally of the Dwarves". (Traxel, pp. 296) Gandalf is very closely related to the elves, being one of the three that wears one of the elven Rings. Also, he always has his staff with him, so it is a very fitting name.

One last thing to mention is that Tolkien also made use of Welsh and Finnish as inspiration for his two different elven languages Sindarin and Quenya. Names could also have meaning within these fictional languages. This is seen for instance, in the elven member of the fellowship, **Legolas**, whose name in Sindarin means green-leaves (Traxel pp. 297).

5.1.2 Harry Potter

In this section the names covered will fall in one of two categories. One is names that have their origins in older times while the other are those names that are more in the style of hidden wordplay. Here, the information comes primarily from Rowling's own writings. Additionally, some information was gathered from David Colbert and some online dictionaries.

Harry Potter: At first glance the name of the story's protagonist would appear to be very unassuming and ordinary, and not what one would associate with a classic fantasy hero. There are more to the name if we look closer, however. Harry is in fact the Middle English form of Henry, a name given to several Kings of England. This gives a clue to the leadership role that Harry takes on in the later books. Harry also shares a relation to an Old High German word, Heri, meaning army. (<https://www.wizardingworld.com/features/etymology-behind-harry-potter-character-names>, par. 2) Harry both helps form, and leads, Dumbledore's Army, a student organization learning to fight evil, and is the spearhead in the war against Voldemort, so there is clearly more to his name than it might first appear. His last name Potter, according to Colbert, who references a radio-interview Rowling gave in 1999, comes from some of her childhood friends (Colbert, pp. 165).

Albus Dumbledore: The Hogwarts headmaster and Harry's mentor plays a major role in the story. There is however no immediately obvious connection between his name and its origin. The word Dumbledore is in fact an 18th century word meaning bumblebee. It is made up of

the prefix dumble, and the word dor. Dumble, was used to refer to various insects and might have etymological ties to the word dumb. Dor, is a word for bees or flies dating all the way back to 700 AD. The combination likely arose due to the slow, wavering flight of the bumblebee. (<https://www.merriam-webster.com/words-at-play/harry-potter-words/dumbledore>, par. 2) This is not why Rowling chose the name, however. In an interview on WBRU Radio in 1999 she explained that “*Because Albus Dumbledore is very fond of music, I always imagined him as sort of humming to himself a lot.*” (Rowling, 1999, found on <https://www.merriam-webster.com/words-at-play/harry-potter-words/dumbledore>, par. 3) Meanwhile, his first name, Albus, means white and was chosen as a nod to alchemy, something very important in the first book. In alchemy, white symbolises asceticism and Dumbledore’s nature as “*the spiritual theoretician, brilliant, idealised and somewhat detached*” (<https://www.wizardingworld.com/writing-by-jk-rowling/colours>, par. 4).

Rubeus Hagrid: The Hogwarts gamekeeper and the one who finally reveals the truth to Harry about his origin. Hagrid’s name has its basis in the term hag-ridden, which means worried (<https://www.wizardingworld.com/features/etymology-behind-harry-potter-character-names>, par. 5). The origin of the term comes from the old belief that nightmares were caused by a hag sitting on your chest while you slept. Thus, people who woke up tired and worried were hag-ridden (Colbert, pp. 182). Hagrid is often worrying about Harry, and also presents a somewhat frightening visage to those that do not know him, so he fits the idea quite well. As for his first name, Rubeus, like Albus, has its roots in alchemy. Rubeus means red which signals passion or emotion. Hagrid represents an opposing but at the same time complementary nature to Dumbledore as “*the earthy, warm and physical man, lord of the forest*” (<https://www.wizardingworld.com/writing-by-jk-rowling/colours>, par. 4). The idea was that they would represent counterpoints to each other in Harry’s search for the father figure that he never experienced.

Hermione Granger: One of Harry’s best friends, Hermione’s name has its roots in Greek mythology, where it was the name of the daughter of King Menelaus of Sparta and Helen of Troy (<https://www.wizardingworld.com/features/etymology-behind-harry-potter-character-names>, par. 11). As for Granger, it was a Middle English occupational name given to a farm bailiff (<https://www.wizardingworld.com/features/etymology-behind-harry-potter-character-names>, par. 12). This seems quite appropriate when you take into account how often Hermione is the one to tell off Harry and Ron when they are behaving badly or not doing their homework properly.

Bellatrix Lestrange: The name of one of Lord Voldemort's most devoted supporters, the origin of the name goes back to ancient Rome. It is in fact a Latin word, the feminine version of Bellator, meaning warrior. Both of these are derived from Bellum, the Latin word for war (<https://www.merriam-webster.com/words-at-play/harry-potter-words/bellatrix-and-draco>, par. 2). It is a very appropriate name for one of the strongest fighters in the series, and someone who relishes in fighting. Nevertheless, another use of the name would appear to be a more likely inspiration. In the early Middle Ages Bellatrix began to be used as the name of a star (<https://www.merriam-webster.com/words-at-play/harry-potter-words/bellatrix-and-draco> par. 3). Considering that the name of her cousin is Sirius, another name also given to a star, I would argue that this is where Rowling got the idea from. Sirius' name will also be looked at in this section.

Draco Malfoy: The name of Harry's biggest rival at Hogwarts, Draco has roots in both ancient Greek and Latin. Dating all the way back to the 7th century BC Draco was the first recorded lawmaker of Athens. He was known for his incredibly harsh legal code, from where we get the modern word draconian, which means cruel or severe (<https://www.merriam-webster.com/words-at-play/harry-potter-words/bellatrix-and-draco>, par. 4). In the books Draco was always trying to get Harry and friends punished, he also relished the power that being a prefect gave him to take house points. This makes his name seem quite fitting. More famously perhaps, the word Draco is also the Latin word for snake, or serpent, and the basis for the word dragon. Considering that the badge of house Slytherin is that of a snake it should not be surprising that this is where Draco ends up. It is not just his first name that is interesting, however. The name Malfoy is a combination of the old French term Mal, usually translated as bad or evil, and foi, meaning faith or trust (<https://www.wizardingworld.com/features/etymology-behind-harry-potter-character-names>, par. 7). So Malfoy becomes bad faith. As the Malfoys were part of the death eaters, Voldemort's followers, but ultimately abandoned him before the final battle, it seems a very appropriate name. This also showcases a common occurrence with the names of the Harry Potter series. If one studies them closely, they will often provide clues or hints to the nature or ultimate outcome for the character.

Remus Lupin: The man who taught Harry the Patronus charm and one of the creators of the Marauders Map alongside Harry's father, Sirius, and Peter Pettigrew. Lupin's name is perhaps the best evidence for how Rowling likes to use names to hint at a character's true nature. His

Christian name Remus has its origin with one of the two brothers who founded the city of Rome and who was raised by wolves. Meanwhile his surname, Lupin originates from the Latin word lupus which means wolf (<https://www.wizardingworld.com/features/etymology-behind-harry-potter-character-names>, pars. 13-14). In their Defence Against the Dark Arts classes Harry and friends are taught about werewolves. When at the end of the third book it is revealed that Lupin is in fact a werewolf, it should perhaps not come as much of a surprise.

Sirius Black: Harry's godfather, who is first properly introduced in the third book where he is believed to have broken out of wizard prison in order to track down and kill Harry. He is another example of how Rowling hides information about a character in their name.

Originating from the Greek Seirios, Sirius is the name of the brightest star in the night sky. As part of the constellation Canis Major it is also known as the dog star (<https://www.merriam-webster.com/dictionary/Sirius>, pars. 1/3). In the third book Harry and friends learns about Animagus, witches and wizards who can turn themselves into animals at will. Harry is also seemingly followed by a huge black dog, which he sees on several occasions. To the observant reader then, the reveal that the dog is Sirius is a twist far from surprising.

Azkaban: The name of the wizarding prison is derived from a combination of Alcatraz, its closest real-word equivalent, and the Hebrew word Abaddon, meaning 'place of destruction' or 'depths of hell' (<https://www.wizardingworld.com/writing-by-jk-rowling/azkaban>, par. 12).

Inferius: The name that Rowling gave to a corpse that has been reanimated with the use of Dark magic, Inferius is based on the Latin word Inferus, meaning below, but with an additional implication of it being less than a human. The plural form Inferi translates as the dead or the underworld (<https://www.wizardingworld.com/writing-by-jk-rowling/inferi>, par. 5).

Diagon Alley: The name of the main magical street in London, where Harry receives his wand and goes to buy books every year. The name is a wordplay on the word diagonally, which reflects how the wizarding world is bent and crooked compared to the straight and ordinary Muggle world (Colbert, pp. 181).

Grimmauld Place: The name of Sirius' family home and headquarters of the Order of the Phoenix. The name is a pun on the fact that it is an old, dusty, and depressing house, a grim old place (Colbert, pp. 181).

5.2 Comparison

Having explored a large selection of names from the two authors this section will discuss what similarities and differences that have shown up.

For similarities, it is clear that both Rowling and Tolkien put a lot of thought into the naming of the characters. There are very few, if any, major characters that does not have a name chosen for a very specific reason. In addition, we have seen how both Rowling and Tolkien like to use the names of characters as a way to give clues about their role or personality. For Tolkien, this was particularly evident in many of the names associated with Rohan, where characters are often given names meaning ruler, warrior, nobleman etc. Additionally, other people of Rohan are given names related to horse, tying into their nature as horsemasters. In Rowling's writing it can be found for instance in the names of Harry, Bellatrix and Draco. Meanwhile Rowling, to a greater extent than Tolkien, likes to use names to provide foreshadowing for reveals about the character in question, seen for instance with Sirius Black and Remus Lupin.

In terms of differences, the primary one seems to be where they draw their inspiration from. While Tolkien relied heavily on Old English, with the occasional use of Old Norse, Rowling tended to find her names in ancient Greek and Latin. As a linguist who spent much time studying Old English texts, it is not surprising that Tolkien found his names there.

The names Tolkien uses also helps sell in the believability of his secondary world and convincing the reader that it truly is the past come to life. As mentioned in the previous chapter on archaic writing, one would use such writing to sell the illusion of the past world of the story. Using names that has their origin in, amongst other, Old English and Norse then becomes another way for Tolkien to bring the world of his creation to life. As for why Rowling used Greek and Latin, I would present the argument that it helps set the magical world apart from the 'normal' one. In addition, alongside the lack of modern technology it makes the wizarding world feel old, as if it is a world lost in time. In this way, Rowling, like Tolkien, makes her world become real.

To summarize: both Tolkien and Rowling actively and consciously create and use names that provide clues about the nature or personality of the character or location. Both, although Rowling more so than Tolkien, also like to give their characters names that reveal hidden

sides or provide foreshadowing. And while they draw their inspiration from different sources, they both do it in a manner that helps sell the world they have created.

Ultimately then, do we have an answer to the question posed at the beginning of this chapter, how these authors create names that serve function in their worlds and stories? Based on the evidence presented, my conclusion is that they do this by giving characters names that helps immerse the reader in the world and also helps guide the journey of the characters through the story.

6. Primary characters

There is a debate among fiction writers as to what drives a story, and undoubtedly many different aspects need to exist for a story to work. In *“On the Many Different Engines That Power a Short Story,”* Lincoln Michel argues the need to step away from the belief that a story must be either plot- or character-driven. Instead, he presents the possibility of writing stories that are either form- or language-driven (Michel, 2019). This position can be seen as similar to how Tolkien once stated that his writing was all *“fundamentally linguistic in inspiration (...) The invention of languages is the foundation. The ‘stories’ were made rather to provide a world for the languages than the reverse.”* (Tolkien, 1955 in James, pp. 63). However, even if one subscribes to this idea, the setting, plot and style of writing must all be there for a story to work, but as Elisabeth Strout explains regarding her own fiction, perhaps most important is the primary character: *“The people in this book were very real to me. They have to be for me to continue to write them. Otherwise, if they’re not, then they just get tossed on the floor – literally. But these people were very, very real to me”* (Strout, 2019) If we, as readers, are unable to engage with and understand the story’s protagonist, our desire to continue reading will usually evaporate. How Tolkien and Rowling keep us engaged with their protagonists is what this chapter will aim to illustrate. To accomplish this the chapter will explore how Tolkien and Rowling describes their primary characters, both in terms of physical appearance and how they evolve and change over the course of the story. Of course, just as with the previous chapters, this will be done with the aim of answering the central question of the thesis, if Rowling is either imitating or distancing herself from Tolkien. For Rowling there is little question who the primary character is, but it might be less clear for Tolkien, so for the purposes of this thesis the primary character of Lord of the Rings will be the ring-bearer himself, Frodo Baggins. This decision was made as although the point of view of the story alternates between several different individuals, the journey of Frodo is the key and the success or failure of his quest is the ultimate decider.

6.1 Harry Potter

6.1.1 The beginning

The investigation of Harry will start with the first description we are given of him:

Perhaps it had something to do with living in a dark cupboard, but Harry had always been small and skinny for his age. He looked even smaller and skinnier than he really was because all he had to wear were old clothes of Dudley’s and Dudley was about four times bigger than he was. Harry had a thin face, knobby knees, black hair and

bright green eyes. He wore round glasses held together with a lot of Sellotape because of all the times Dudley had punched him on the nose. The only thing Harry liked about his own appearance was a very thin scar on his forehead which was shaped like a bolt of lightning. (Rowling, pp. 20)

Right from the start this description gives us a pretty good idea about what kind of character Harry is. We learn that he is small and frail, that he has been abused, both mentally and physically by his aunt, uncle, and cousin, and that he does not think particularly highly of himself. He is an underdog, one to whom life has not been particularly kind. In this manner, Harry is similar to many of the classic fairy-tail protagonists, with Cinderella being the most obvious analogy. This comparison is also made by David Colbert, who in addition likens Harry to the concept of the Lost Prince, like Moses or King Arthur, someone who has a secret, great destiny (Colbert, pp. 205-206). What this does is make him an immediately sympathetic character, one it is easy to root for and appreciate when things start turning in his favour.

However, despite the terrible nature of his upbringing, Harry is not a weak or subservient character. He is more than willing to stand up for himself, particularly against his cousin Dudley, like when Dudley suggest stuffing Harry's head in the toilet as practice for his new school. To this Harry replies that the toilet has never has something as terrible as Dudley's head in it, and that it might get sick (pp. 28). This helps make Harry a much more rounded character. If Harry had been shown to always do as he was told, and never act out, it could easily appear out of character for him when later on he gets to Hogwarts and starts breaking all kinds of school rules, as mentioned in the plot summary, though as we shall see it this is not because he is a bad kid. The important bit is that it has been established that he does have a bit of an edge, so his disregard for the rules does not come out of nowhere.

Of course, we as the readers are aware of Harry's magical background, so when he describes how strange things often happens around him, we can understand why, even though he does not himself. When, during a visit to the zoo, he first talks to a boa constrictor then sets it free by disappearing the glass in front of its cage, as the reader you understand it is his latent magical abilities that are showing itself (pp. 26). Eventually of course the truth is revealed, and Harry learns about the fact that he is famous in the wizarding world as the one who defeated Voldemort, and sets of for Hogwarts. This revelation could easily make Harry believe that he is special and better than everyone else, but in a true testament to his moral

fibre, it does not really change anything about how he acts and treats other people. On the train he quickly makes friends with Ron and the other Weasleys and rejects Malfoy's offer to help him avoid making friends with the wrong kinds of wizards (pp. 81). Later, when he has arrived at the school and trying on the sorting hat, he begs it not to put him in Slytherin, (pp. 91) as he have already learned that it has a reputation for producing dark wizards.

At this point of the story we have been given a pretty good idea about what kind of person Harry is. We see that despite his upbringing and sudden fame, he is for the most part a quiet, nice kid, but one who is capable of standing up for himself. The interactions with Ron and Malfoy on the train also highlights that Harry can sympathize with others who do not have the most resources, and not someone who just sides with whoever might present themselves as better. This is a quality that he also showcases several times during the year, like when he helps Neville get his Remembrall back after Malfoy stole it, (pp. 111) an incident that also secures Harry his place in the Quidditch team as the youngest player in a century. Or when, despite not getting particularly well along with her he and Ron goes to warn Hermione after a troll got in the school on Halloween (pp. 129). Their daring rescue effort results in Hermione becoming their friend, and her resourcefulness and knowledge proves invaluable on numerous occasions throughout their adventures.

It was mentioned earlier that Harry shows somewhat of a disregard for the rules. He sneaks out during the night multiple times, he helps smuggle a dragon out of the school (pp. 175), and he ends up in detention. But while it is true that he does break a lot of rules, it might be more accurate to say that it is his curiosity and propensity for meddling that results in the breaking of rules. However, this quality is also what allows him, Ron and Hermione to figure out that someone is trying to steal the Philosopher's Stone, and leads Harry to come face to face with Voldemort again (pp. 212). And it is during this confrontation that Harry shows his greatest quality, incredible selflessness and bravery. He is fully committed to stopping Voldemort getting the stone, even if it were to come at the cost of his own life. In his conversation with Dumbledore following the fight Harry learns the truth about how he survived, that it was because his mother died to protect him. He also asks why Voldemort targeted him specifically, but Dumbledore does not want to tell him, saying he must wait until he is older (pp. 216). When Harry finally is told the answer, it becomes the very core of his journey in the last two books. The year then ends, and Harry goes back to the Dursleys for the summer.

6.1.2 The voice in the walls

Moving on to the second book, there is no immediate difference in Harry until he starts hearing a mysterious voice that no one else hears, (pp. 92) which also coincides with several mysterious attacks that leave behind petrified victims (pp. 106/135/151). The mysterious attacker claims that the chamber of secrets, a hidden location built by Salazar Slytherin, one of the school's founders, have been opened, and that enemies of the heir of Slytherin must beware. Then, during a duelling club lesson, the whole school learns that Harry is a parselmouth, someone who can talk to snakes, and the belief that he is the heir starts to spread (pp. 145). While Harry knows that he is not responsible for the attacks, he is still deeply shaken and keeps thinking about the fact that the sorting hat wanted to put him in Slytherin and wondering if he might actually be the heir of Slytherin. We also see how Harry is starting to develop more of a temper. While in the first book he rarely, if ever, gets truly mad, it really angers him when the other students believe that he is the one attacking people (pp. 149). However, when one of the students who had been most accusing comes to apologize, Harry has no problem forgiving him (pp. 199).

Harry's greatest test so far comes at the end of the book when he finds himself once again face-to-face with Voldemort, albeit the memory of his 16-year-old version when he was still called Tom Riddle. Riddle makes note of the similarities between himself and Harry, including that they are most likely the only two parselmouths to come to Hogwarts since it was founded (pp. 233). When Harry brings this fact up to Dumbledore afterwards, having successfully defeated the basilisk and destroyed Riddle, Dumbledore explains that the reason Harry is a parselmouth is that Voldemort unintentionally transferred some of his power to Harry the night he failed to kill him (pp. 245). This revelation makes Harry convinced he should have been in Slytherin after all, but Dumbledore explains that the fact that Harry asked the sorting hat to put him in Gryffindor shows the difference between Harry and Voldemort.

‘It only put me in Gryffindor,’ said Harry in a defeated voice, ‘because I asked not to go to Slytherin ...’ ‘*Exactly*,’ said Dumbledore, beaming once more. ‘Which makes you very *different* from Tom Riddle. It is our choices, Harry, that show what we truly are, far more than our abilities.’ (Rowling, pp. 245)

This underlining of the importance of the choices we make, as well as the true extent of the power-transfer and its consequences will have massive implications for the end of the story and Harry's role in it. One final thing of note in the second book is that Harry manages to

trick Mr Malfoy into setting free Dobby the house-elf, (pp. 248) despite the latter's many attempts to injure Harry during the year. This show of compassion is another showcase of Harry's character and an act that proves most important, as Dobby comes to his aid numerous times in the following books.

6.1.3 Black escape

By the time of the third book it is very clear that Harry is developing a serious temper. This is demonstrated right at the beginning of the book when Harry magically inflates his uncle's sister for insulting Harry's parents, and then proceeds to storm out of Privet Drive (pp. 37). He also gets extremely angry at Snape when he insults his father (pp. 308). It is clear that the topic of his parents is one that is very sensitive for Harry, and many of his outburst are related to them. Later in the year, when he learns the 'truth' about how Sirius Black sold out his parents to Voldemort it is described as "*A hatred such as he had never known before was coursing through Harry like poison.*" (Rowling, pp.231) When Ron and Hermione ask if he wants to go after Black himself, possibly even kill him, Harry does not know what he wants, just that he cannot stand the idea of doing nothing while Black is free. When he finally comes face to face with Black it is described as "*For the first time in his life, he wanted his wand back in his hand, not to defend himself, but to attack ... to kill.*" (Rowling, pp.365)

It is not just anger that Harry has to deal with in his third year however. The escape of Sirius Black also results in Dementors being placed around the school grounds. Because of his traumatic childhood they affect Harry much more than everyone else, and it makes him feel weak and shameful. He therefore convinces Professor Lupin to teach him how to conjure a patronus to ward off the dementors (pp. 205). This spell ends up being one of Harry's signature spells and one he uses to great effect several times.

Of course, Harry eventually learns that Sirius did not in fact betray his parents and that he is an innocent man. While it takes a while to convince him, once it happens, he carries no ill feelings for him (pp. 401). However, when Sirius and Lupin prepares to kill Peter Pettigrew, who has been revealed as the real person responsible for the death of Harry's parents Harry steps between them to stop the murder. He explains that he does not think his dad would have wanted his two best friends to become murderers (pp. 404). This reaction is in many ways the true testament to Harry's character. It is one thing to forgive someone accusing him of attacking other students, as we saw in book two, it is something completely different to defend the life of the person to blame for the death of his parents. Understandably, he does not

forgive Pettigrew for what he did, in fact he has nothing but hatred and disgust for him, but he understands that having Sirius and Lupin kill him is not the right way to go about it.

Of course, Pettigrew eventually escapes and as we learn in the next book, makes his way back to Voldemort and is instrumental in his return. When Harry brings his worry about this up to Dumbledore and says that it will be his fault if Voldemort comes back his response is very telling:

'It does not,' said Dumbledore quietly. 'Hasn't your experienced with the time turner taught you anything Harry? The consequences of our actions are always so complicated, so diverse, that predicting the future is a very difficult business indeed (...) Pettigrew owes his life to you. You have sent Voldemort a servant who is in your debt (...) the time may come when you will be very glad you saved Pettigrew's life. (Rowling, pp.459)

At the time Harry cannot possibly imagine finding himself in those kinds of circumstances, but time will eventually once again prove Dumbledore right.

6.1.4 Darkness approaches

Moving on to the fourth book the first major aspect that emerges is that Harry is becoming far more self-assured and independent. He is no longer doing everything the Dursley's tell him and is standing much more up for himself against them. One worry he does face though is that his scar hurt again (pp. 26). Then, after the appearance of death eaters, Voldemort's old followers, (pp. 134) as well as the dark mark, (pp. 144) during the Quidditch world cup, Harry is concerned that Voldemort himself might be getting stronger again.

When Harry and the others arrive back at Hogwarts they learn that the Triwizard Tournament, a competition between the three largest magic schools in Europe will be held this year with each school represented by a champion. This champion has to be someone who is seventeen or above, so Harry believes he is too young. However, on the eve when the champions are selected he somehow finds himself selected as the fourth champion, and is forced to compete. (pp. 297) Despite all his argument, just about the entire school, including Ron, believes that Harry himself somehow tricked his way into the competition. This causes a rift between Harry and Ron as Ron, according to Hermione, is jealous of all the attention Harry is getting, and how he is always pushed to the side. Just how bad Harry feels is shown when he describes the situation:

The next few days were some of Harry's worst at Hogwarts. The closest he had ever come to feeling like this had been during those months, in his second year, when a large part of the school had suspected him of attacking his fellow students. But Ron had been on his side then. He thought he could have coped with the rest of the school's behaviour if he could just have Ron back as a friend, but he wasn't going to try and persuade Ron to talk to him if Ron didn't want to. Nevertheless, it was lonely, with dislike pouring in on him from all sides (Rowling, pp. 324)

This particular passage in my opinion indicates two key aspects of Harry's character and personality. Firstly, it shows that Harry can be quite stubborn. Despite the fact that he wants Ron back as a friend he does not want to be the one to take the initiative in fixing their relationship. As he explains to Hermione; *"he would talk to Ron again only if Ron admitted that Harry hadn't put his name in the Goblet of Fire and apologised for calling him a liar"*. (pp. 347) Secondly, it shows just how close Harry and Ron are, and how much that friendship matters for Harry's mental state. The fact that he believes he would be able to deal with the abuse if Ron was at his side is a true testament to this. Also later, after Harry has completed the first task and he and Ron have made up, and Ron is furious that one of the judges gave Harry a low score, we learn how *"he wouldn't have cared if Karkaroff had given him zero; Ron's indignation on his behalf was worth about a hundred points to him."* (Rowling, pp. 395)

Having thus proven just how important this friendship is, it seems a good idea to examine it a bit closer both to understand why it matters so much, and because it provides an interesting comparison with that of Frodo and Sam which we will get to later. The first aspect of Harry and Ron's friendship that sticks out to me is that from the first time they meet Ron never treats Harry differently because of who he is. Yes, he is obviously fascinated by the scar and what happened, but unlike so many others Harry meet, Ron does not look weirdly at him, or whisper behind his back. He also sticks by him when Harry messes up or in some other manner gets the school against him. For Harry whose entire childhood was spent being bullied and abused by the Dursleys, and then finds himself an unwanted celebrity when he enters the magical world, having someone who simply cares about him as a friend is so important.

Another aspect that sticks out is the fact that they find themselves on a pretty similar level of skill. Yes, Harry has a natural talent when it comes to Quidditch and he is better in Defence Against the Dark Arts, but other than that, they tend to get pretty similar results. They also

have pretty similar attitudes and work ethics when it comes to schoolwork. This fact to me is the main reason why Ron, and not Hermione is Harry's best friend. As Harry reflects on in the fourth book during the period when he is not talking to Ron; "*'Miss him?'* said Harry. *'I don't miss him ...'* But this was a downright lie. Harry liked Hermione very much, but she just wasn't the same as Ron. There was much less laughter, and a lot more hanging around in the library when Hermione was your best friend." (Rowling, pp. 347-348) This quote then, represents in my opinion a perfect encapsulation of Harry's relationships with his two best friends at this point in the story. When continuing our look through the rest of the books then, it pays to keep a close look at this relationship as the story progresses.

Resuming our look at book four, having successfully navigated the first task and mended his connection with Ron, Harry is soon faced with a challenge of completely different proportions; The Yule Ball, and having to ask someone out. This brings with it a new side of Harry that have not been explored thus far in the books; feelings of attraction and the possibility of romance. In this particular area we see how Harry is just as awkward and unsure as most teenagers, which once again helps ground him as a normal and relatable character (pp. 434). This is something that helps endear him both to the older audience who can remember back to their own teenage years, and particularly to the younger audience. It is my opinion that this aspect is one of the most important reasons for the extreme success of the book. So many younger readers, myself included, practically grew up with the books, as well as the films, and having a character like Harry, who went on incredible adventures and faced terrifying villains, while at the same time struggling with many of the same things as normal teenagers, gives them a hero who they can connect with as being like them.

The rest of the tasks, while not critical in Harry's development, does once again showcase just how much Ron means to him, as the second task involves Harry having to retrieve the thing he will miss the most, which turns out to be Ron (pp. 535). Other than that, not too much of importance happens until the end of the tournament when Harry and Cedric are transported to a graveyard where Cedric is killed, and Harry has to watch as Voldemort is reborn (pp. 696). Harry then must face down Voldemort under circumstances where he is certain that he is going to die. Despite this, he stands his ground and does not back away. This incredible act of bravery is ultimately what allows him to survive the encounter and get back to Hogwarts to warn Dumbledore. The fact that he also makes sure to bring Cedric's body back with him, despite how much more difficult that makes it for him, and that he gives up the winnings from

the Triwizard Cup once again speaks to his caring and selfless nature. Although the return of Voldemort of course is troubling, he faces the end of the year in relatively good spirits as he remarks: *“There was no point in worrying yet, he told himself, as he got into the back of the Dursley’s car. As Hagrid had said, what would come, would come ... and he would have to meet it when it did.”* (Rowling, pp. 796)

6.1.5 Anger and Umbridge

Moving on to the fifth book we once again find a highly frustrated Harry spending his time at the Dursley’s. He has been given no indication about when he can leave and both Ron and Hermione are being extremely secretive about what they are up to. All they tell him is that they are busy, and that to Harry’s understanding they are at the same place. To Harry, this all feels extremely unfair.

And what were Ron and Hermione busy with? Why wasn’t he, Harry, busy? Hadn’t he proved himself capable of handling much more than them? Had they all forgotten what he had done? Hadn’t it been *he* who had entered the graveyard and watched Cedric being murdered, and been tied to that tombstone and nearly killed? (Rowling, pp. 15)

He then chastises himself for thinking about the graveyard again as it is bad enough that he is dreaming about it, without focusing on it when he is awake as well. Combine this with how we learn from Dudley, who makes fun of him for it, that Harry was talking and moaning about Cedric in his sleep (pp. 22) it seems pretty clear that Harry is suffering from some form of Post-Traumatic Stress Disorder combined with survivors guilt. This is no really surprising considering what he went through at the end of the last book, but it is still interesting to see such a heavy topic being handled, all-be-it in an indirect way, in what after all is still a book aimed at a younger audience.

The start of this book also shows clearly that Harry is developing serious anger issues. While he could always get angry in the earlier books as well, he spends large parts of this story in various degrees of anger, and it takes very little to fire him up. Whether this is a result of what he experienced at the end of the last year or something else is never fully explained, but it is my interpretation that these events are a major contributing factor. Also of importance is of course the fact that at the start of the year most of the other students does not believe his story about Voldemort’s return, and it is clear that the constant pointing and whispering behind his back, as well as arguments are putting a heavy strain on him.

He had been stupid not to expect this, he thought angrily as he walked through the much emptier upstairs corridors. Of course everyone was staring at him; he had emerged from the Triwizard maze two months previously clutching the dead body of a fellow student and claiming to have seen Lord Voldemort return to power. (...) He was sick of it; sick of being the person who is stared at and talked about all the time. If any of them knew, if any of them had the faintest idea what it felt like to be the one all of these things had happened to ... (Rowling, pp. 239/242)

These two quotes make it seem pretty clear that much of Harry's anger and frustration have their root in always finding himself the unwanted centre of attention, of how everything always happens with him. I believe that this aspect of his personality is actually fairly significant in making him a sympathetic character. If he had loved all the attention he gets and always attempted to put himself in the limelight, in short, if he had acted the way Ron believed he did during the fourth book when they were not friends, then it would have been much harder to root for or feel sorry for him.

Earlier it was mentioned how in the fourth book Harry for the first time were having to deal with feelings of attraction and infatuation. This continues in the fifth book where Harry is still struggling to figure out how to handle a romance. While he is successful in establishing a relationship with Cho Chang it is ultimately a pretty stormy one and it does not last for particularly long. To me this seems mostly to stem from the fact that this relationship is more so an express of teenage emotions than something grounded in a mutual feeling of connection and love. I also heavily believe that while it does not happen in book five, this was the point during writing where Rowling decided on who Harry would ultimately end up with, although this is something that will be looked more closely at for the next book.

The most important thing that happens to Harry this year however is undoubtedly his battle with the Death Eaters in the Ministry of Magic, which results in the death of Sirius (pp. 886), and Dumbledore's explanation of the reason for why Voldemort wanted to kill Harry in the first place. Here Harry learns that a prophecy was made shortly before his birth that hailed the coming of the one with the power to destroy the dark lord. Voldemort learned of the prophecy, but only the first part and therefore did not know that by attempting to kill Harry he would "*mark him as his equal*" (Rowling, pp. 925) and that he would have "*power the Dark Lord knows not*" (Rowling, pp. 926) The biggest revelation however, is that "*either must die at the hand of the other for neither can live while the other survives*" (Rowling, pp. 924). It

means that one of them will eventually have to kill the other. This then, in many ways, lays out the path Harry must walk in the final books, that it is his destiny to face down Voldemort, and his mission to discover how he can finally be defeated. After his talk with Dumbledore Harry finds himself feeling distant and isolated from the rest of the students. While he had known ever since he first arrived at Hogwarts that he was a marked man, he feels as if he never truly understood what that meant until this moment. (pp. 940) Despite all this though, he ultimately ends the year not exactly hopeful, but better than what he felt right after his talk with Dumbledore, and with the knowledge that his friends are there for him until the end.

6.1.6 The prince and the phoenix

At the start of the sixth book we find Harry waiting in Privet Drive on a visit from Dumbledore who takes him with him to help convince a former teacher to return to Hogwarts. During their conversation we also get a look at how Harry has been faring in the weeks since the dramatic events at the end of the last book. He gets very emotional whenever Sirius' name is mentioned, and we learn that he had spent the majority of the summer so far in his room refusing to eat and staring out the window (pp. 77). While he does not appear to be having nightmares in the vain of Cedric's death a year earlier, it is still clear that he suffers greatly from the loss. When he arrives at the Burrow, he finally tells Ron and Hermione the truth about the prophecy and what it means. Just how much their reaction to these news means to Harry becomes very clear:

Harry did not really listen. A warmth was spreading through him that had nothing to do with the sunlight; a tight obstruction in his chest seemed to be dissolving. He knew that Ron and Hermione were more shocked than they were letting on, but the mere fact that they were still on either side of him, speaking bracing words of comfort, not shrinking from him as though he were contaminated or dangerous, was worth more than he could ever tell them. (Rowling, pp. 97)

This all goes back to what was mentioned earlier about Harry understanding that he is a marked man and, in many ways, separated from everyone he knows. The fact that Ron and Hermione still stand by him and support him regardless is perhaps one of the most important aspects in giving him the strength to keep going.

Well back at Hogwarts there are not too many different facets to Harry's personality emerging this year. He has less problems with his anger than he did last year, although it still occasionally rises to the surface. He is also dealing remarkably well with the prophecy, and

we do not get much of a sense of him spending time worrying about it. In fact, the biggest personal struggle Harry faces in this book is how to deal with his emerging feelings for Ginny. It takes him a while to realise he has developed feelings for her, and after he does, he struggles with how best to deal with them. His biggest worry is what Ron would say if Harry asked her out, a feeling not exactly lessened by Ron's reaction to seeing Ginny kiss Dean Thomas. (268-270) In the end, everything does work out however, and Harry and Ginny do get together. Once again Harry finds a great deal of rumours and whisperings around himself, though in this particular instance it does not really bother him as "*it made a very nice change to be talked about because of something that made him happier than he could remember being for a very long time*" (Rowling, pp. 500).

This brings me back to what was mentioned in the section on Harry's relationship with Cho during book five, how it is my belief that it was during the writing of this book that Rowling decided that Harry and Ginny would eventually get together. The argument for this is that book five is the first time Ginny starts being much more involved in the story.

The most important thing that happened during this book however is Harry's private lessons with Dumbledore where they delve into the history of Voldemort, so that Harry can learn as much as possible to better prepare for how best to defeat him. It is during these lesson that Harry finally discovers exactly how Voldemort survived the failed attack on Harry when he was a baby, and what needs to be done in order so that Voldemort finally can be killed.

Voldemort had created several Horcruxes, containers where you store a part of your soul, and if all of these are destroyed Voldemort will once again be mortal (pp. 475). Harry does however still not feel as if he has the skill and power needed to defeat Voldemort and feels a bit let down when Dumbledore tells him that the prophecy's saying that he will have "*power the Dark Lord knows not*" (Rowling, pp. 476), simply means his ability to love. However, Dumbledore's point is that it was Voldemort's decision to act upon the prophecy that gave Harry exactly the tools he needs to defeat him, and the desire to do just that. So, while Harry is free to choose to leave and to disregard the prophecy, Voldemort's continued focus on it will inevitably result in a confrontation. This gives Harry the ultimate realisation:

But he understood at last what Dumbledore had been trying to tell him. It was, he thought, the difference between being dragged into the arena to face a battle to the death and walking into the arena with your head held high. Some people, perhaps, would say that there was little to choose between the two ways, but Dumbledore knew

– and so do I, thought Harry, with a rush of fierce pride, and so did my parents – that there was all the difference in the world. (Rowling, pp. 479)

This understanding of the importance of choice can in many ways be seen as the central theme of the entire story. Time and time again the similarities between Harry and Voldemort have been brought to attention, both orphans, raised without knowing about their abilities, Harry shares many of the personality traits that Voldemort values, he can even look into Voldemort's mind, but as Dumbledore explains:

‘despite your privileged insight into Voldemort’s world (...) you have never been seduced by the dark arts, never, even for a second, shown the slightest desire to become one of Voldemort’s followers!’ ‘Of course I haven’t!’ said Harry indignantly. ‘He killed my mom and dad!’ (...) ‘In spite of all the temptation you have endured, all the suffering, you remain pure of heart’ (Rowling, pp. 477-78)

The point is that Harry has had every opportunity to turn out just the same as Voldemort, all the backstory, all the abilities. He has even had plenty of reason to despise many of his fellow students and the rest of the wizarding world for how they have treated him, but he has never been tempted. He has always showed compassion, forgiveness, and trust, and it is these qualities and choices that defines who he is and gives him the strength and protection necessary to defeat Voldemort.

Armed with this new knowledge and understanding Harry and Dumbledore set out to retrieve and hopefully destroy another of Voldemort's Horcruxes. However, their mission fails as somebody else had already taken it from its hiding place, and what is worse is that the effort they exerted severely weakens Dumbledore. When they eventually get back to Hogwarts Harry is forced, immobilized under his invisibility cloak to watch Snape seemingly reveal his true colours, as he kills Dumbledore (pp.556). This is of course a devastating blow to Harry as he now knows that there is nobody else left to protect him, that “*he was more alone than he had ever been before*” (Rowling, pp. 601). He is prepared to travel this last road on his own, but to his surprise Ron and Hermione are having none of that, and insists that they are coming with him no matter what. And so Harry ends the book fully aware of where his journey will take him, but at the same time comforted by the knowledge that he is perhaps not as alone as he had believed.

6.1.7 The end of the line

As the final book starts, we find Harry in Privet Drive for the last time, preparing to say a rather awkward goodbye to the Dursleys. All things considered this goes relatively well, and we do get the sense that Harry and Dudley at least might potentially have come to some form of understanding. (pp. 40) One other personal struggle that Harry soon finds himself in has to do with Dumbledore and just how little Harry actually knew about him. The thing that most shocks him is when he learns that Dumbledore's family also lived and died in Godric's Hollow, the same place as Harry himself.

Harry felt drained, empty. Never once, in six years, had Dumbledore told Harry that they had both lived and lost loved ones in Godric's Hollow. Why? Were Lily and James buried close to Dumbledore's mother and sister? Had Dumbledore visited their graves, perhaps walked past Lily and James's to do so? And he had never once told Harry ... never bothered to say ... And why it was so important, Harry could not explain, even to himself, yet he felt it had been tantamount to a lie not to tell him that they had this place, and these experiences, in common. (Rowling, pp. 132)

Harry's resentment and frustration with Dumbledore is an ongoing event in the story, as more and more of his secrets are revealed. It also ties into their lack of success in tracking down the remaining Horcruxes with Harry frequently feeling as if Dumbledore had left him an impossible task, yet never trusted him with the whole truth. This feeling is made far worse after Ron walks out on them, not wanting to do this anymore, but not before shouting accusations at Harry about how he and Hermione thought Harry knew what he was doing (pp. 252). After a visit to Godric's Hollow and a close encounter with Voldemort, Harry learns that the young Dumbledore were friends with Gellert Grindelwald, the Dark wizard he famously defeated. Then Harry's anger finally explodes:

'Maybe I am!' Harry bellowed, and he flung his arms over his head, hardly knowing whether he was trying to hold in his anger or protect himself from the weight of his own disillusionment. 'Look what he asked from me Hermione! Risk your life Harry! And again! And again! And don't expect me to explain everything, just trust me blindly, trust that I know what I'm doing, trust me even though I don't trust you! Never the whole truth! Never!' (Rowling, pp. 295)

This moment is probably Harry's lowest in the series, where he truly feels lost, not knowing where he is going or what he should do. I would consider it likely that he would have found it

very hard to go on from this point if it had not been for the reappearance of Ron, and his and Harry's success in destroying the Horcrux (pp. 307). This success helps convince Harry to ultimately trust Dumbledore, despite not having been told everything, trust that Dumbledore wanted the best for him. It is not until right at the end that Harry, through the memories of Severus Snape learns the final truth; a part of Voldemort's soul lives within him, and as long as he lives, Voldemort cannot be killed. Dumbledore have trained him, and protected him so that *"he can die at the right moment"* (Rowling, pp. 551). When this realisation hits him, it does not really affect Harry that much, as if part of him had always known it was going to come to this. Even Dumbledore's betrayal does not really mean anything as Harry reflects that *"Of course there had been a bigger plan; Harry had simply been too foolish to see it, he realised that now"* (Rowling, pp. 555). Dumbledore knew that Harry would not back down, because he understood him, because he knew, as Harry now knows himself, that he would not permit anyone else to die for him when he could prevent it.

So Harry proceeds to the forest where he comes face to face with Voldemort who once again attempts to kill him (pp. 564). After being hit by the curse Harry wakes up in a strange place where he meets Dumbledore again. Exactly what this place is is never fully explained. However, based on Dumbledore's comment on how Harry would be able to go "on" (pp. 578) if he so chooses, it seems logically to assume that it is some kind of limbo between life and death. It is also possible that it is all some kind of hallucination, or something going on in Harry's head, as evidenced by Dumbledore knowing information he should not, but as Dumbledore so elegantly put it when Harry raises this question: *"Of course it is all happening inside your head, Harry, but why on earth should that mean that it is not real?"* (Rowling, pp. 579). Harry of course decides that he has to go back, as the snake is still alive and therefore so is Voldemort, and Dumbledore believes that if Harry does go back, Voldemort might finally be finished for good.

Having returned to his body Harry, pretending to be dead, witnesses Neville killing the snake, the last Horcrux, before facing down Voldemort for the final time in front of everyone in the great hall (pp. 590). Here, declaring that no one else should get involved, Harry finally defeats Voldemort as the true master of the elder wand which cannot harm him. As a true testament to his character, instead of taking it for himself, Harry merely uses it to repair his own broken wand, before informing the painting of Dumbledore that he is putting the elder wand back in

Dumbledore's tomb. The final scene of the story is a skip nineteen years in the future where Harry, Ginny, Ron and Hermione are seeing their own kids off to Hogwarts.

6.2 Lord of the Rings

6.2.1 A dangerous business, going out your door

Switching over to Frodo, one interesting aspect that becomes immediately apparent, is the lack of any clear physical description. The book's prologue provides a fairly in-depth account on the general look of hobbits, but the first physical description of Frodo himself is while looking in a mirror he notes that his reflection "*looked rather flabby, he thought*" (Tolkien, pp. 90). It is difficult to draw any definite conclusions on exactly why Tolkien decided not to give any more of a detailed description, but my personal opinion is that it is due to the desire to show that seemingly unremarkable people are capable of the greatest deeds. One other possible reason could be that Tolkien wished more so to emphasise the personal character of Frodo, rather than his appearance. This he might also have considered important as a way to showcase the corrosive effect on his mental state from carrying the ring. With this view in mind it is time to begin the investigation into Frodo's personality.

There is not too much remarkable about Frodo when he is first introduced. He is described as a nice young hobbit by others (pp. 29), and he is deeply fond of his uncle Bilbo. It is not until Bilbo leaves, with Frodo inheriting a gold ring that Bilbo found on his own adventure, which makes you invisible when you put it on, that things start changing. For a number of years after he lives quietly in Bag End until the wizard Gandalf returns and reveals the truth about the ring (pp. 61). Learning that his ring is the one ring, made by the Dark Lord Sauron shocks Frodo greatly, but what truly scares him is the possibility that Sauron has learned what happened to the ring and where it is currently held. This is when we get our first look at Frodo's character, when he contemplates what he should do now:

'But in the meanwhile it seems I am a danger, a danger to all that live near me. I cannot keep the ring and stay here. I ought to leave Bag End, leave the Shire, leave everything and go away.' He sighed. 'I should like to save the Shire, if I could – though there have been times when I thought the inhabitants too stupid and dull for words (...) But I don't feel like that now. I feel that as long as the Shire lies behind, safe and comfortable, I shall find wandering more bearable: I shall know that somewhere there is a firm foothold, (...)' (Tolkien, pp. 81-82)

What this passage illustrates is that Frodo, despite being a simple hobbit possesses a great deal of courage. He is willing to leave on a dangerous journey to take the ring away from the Shire. He also shows off a quality that is a common theme throughout the story; that of self-sacrifice, giving up his quiet and comfortable life for danger and possibly death. One other aspect that also comes to light in this situation is that Frodo has a tendency to feel like he has to do everything himself, in this case, leaving the Shire. As he says: “*And I suppose I must go alone, if I am to do that and save the Shire.*” (Tolkien, pp. 82) This is something he will attempt several times during the story, but here, like what will be the case later, he is encouraged to take someone with him, or otherwise prevented from going alone. This provides a good comparison to Harry, who, as we have seen, also has a tendency want to face whatever evil is coming on his own. but are prevented from doing so. A particularly good example of this comparison will be looked at a little later.

It is decided that he will bring with him Sam Gamgee, his gardener, on this journey. Their relationship, much like that of Harry and Ron, is a key aspect of Frodo’s journey and as such will be looked at very closely as the story progresses. One key difference to make note of already, is that while Harry and Ron are pretty much equals, Frodo and Sam are not. There is a very clear hierarchical separation between them, with Frodo being part of the upper class of the Shire, and Sam the working class. Edward James provides a good illustration when he notes how Frodo and Sam’s relationship is akin to that of an officer and his batman, or a gentleman and his manservant (James, pp. 68). This is something to keep in mind as the story progresses.

As Frodo sets out on his journey he is joined, in addition to Sam, by two other Hobbits, Merry and Pippin. Not too much of significance happens with regards to his characterization for a while, although we see how Frodo, though far from fearless, is both the bravest and smartest of them. The first good example of this is after the hobbits have been taken captive by the barrow-wrights. Here Frodo shows remarkable courage, deciding to stay and protect his unconscious friends instead of escaping and saving his own life (pp. 183). He is even able to provide some resistance, and is the one that helps to make sure they are rescued. This act of defiance is something he shows off on several occasions when facing down the enemy. First on Weathertop, then at the Ford of Bruinen, where, despite being grievously injured, Frodo stands his ground in defiance of the Black Riders, commanding them to go back.

With a great effort Frodo sat upright and brandished his sword. ‘Go back!’ he cried. ‘Go back to the land of Mordor, and follow me no more!’ (...) ‘By Elbereth and Lúthien the Fair,’ said Frodo with a last effort, lifting up his sword, ‘you shall have neither the Ring nor me!’ (Tolkien, pp. 279-280)

What these examples illustrate is that Frodo, despite his short stature and how he does not fit in the world of wizards, elves, dwarves and men, possesses extraordinary courage and valour. No more clearly is this shown than during the council of Elrond, when the decision that the ring must be taken into Mordor to be destroyed is made. When Frodo witnesses how no other member of the Council is willing to step up, and knowing that Gandalf would refuse to take it, Frodo, despite wanting to stay with Bilbo in Rivendell, declares that he will be the one to take the ring to Mordor.

Frodo glanced at all the faces, but they were not turned to him. All the council sat with downcast eyes, as if in deep thought. A great dread fell on him, as if he was awaiting the pronouncement of some doom that he had long foreseen and vainly hoped might after all never be spoken. An overwhelming longing to rest and remain at peace by Bilbo’s side in Rivendell filled all his heart. At last with an effort he spoke, and wondered to hear his own words, as if some other will was using his small voice. ‘I will take the Ring,’ he said, ‘though I do not know the way.’ (Tolkien, pp. 352)

This quote shows that Frodo is willing to shoulder a burden that no one else will, even if he knows the danger. To me the most interesting part of this passage however, is that it seems to indicate that a part of Frodo had always known that it was going to come to this. I would argue that some part of him has understood this ever since Gandalf first told him of the Ring, how Bilbo was the only one to ever give it up willingly, and that Gandalf himself could not carry it (pp. 81). He feels as if it is some other force that is putting words in his mouth. This I interpret as if the words come from a part of Frodo that he had not known existed. As said earlier, during the events in the Barrow-down; “*There is a seed of courage hidden (...) in the heart of the fattest and most timid hobbit, waiting for some final and desperate danger to make it grow*” (Tolkien, pp. 183). And although Frodo is neither fat nor timid, the idea is that every hobbit is capable of great acts of bravery when the danger and desperation is high. And since Frodo already was amongst the bravest of hobbits, his becomes even greater.

Of course, he does not go alone, and as usual the first person to declare that he is coming along is Sam, whose undying loyalty to Frodo would not allow him to falter at this point. They are also joined by seven others, including the other two hobbits, and Gandalf on their journey. For the first part of their travels, although not pleasant, not too much can be said about Frodo's character. The first real sign of change can be registered when the company have made their way into the mines of Moria. Here we see how the wound Frodo suffered at Weathertop, although he was healed, has left a permanent mark on him. His senses have been sharpened and he has a deep sense of dread and uneasiness (pp. 406). The effect of carrying the Ring is also weighing heavy on him. *"He felt the certainty of evil ahead and of evil following, but he said nothing"* (Tolkien, pp. 406). What we are seeing here are the first real evidence of the slow, corrupting effect of the Ring as it starts to worm its way into his mind. One other aspect that starts to emerge is that Frodo is reluctant to tell anyone about what he is dealing with. This is in effect the first indication of the slow separation of Frodo from the rest of the companions.

During a break in their travels when Frodo learns about the mithril vest that he was given secretly by Bilbo, we find him contemplating his life with Bilbo in Bag End and wishing he was back and had never heard of the Ring (pp. 414). This is to me a testament to Frodo's true nature, that despite his bravery and how he sometimes used to find life in the Shire boring, it is where his heart truly lies.

When the company arrives in Lothlórien Frodo remarks to himself how he feels like he has stepped into a time long past and a world that is untouched by shadow (pp. 458). During their trip from the mines to Lothlórien he also several times feels like he hears something following them and he sees what could be a pair of eyes in the darkness (pp. 439). Coupled with how his senses have been sharpened it starts to emerge a sense that Frodo is able to observe and feel the world to a greater extent than the others.

The final chapter of the book represents one of the most important decisions that Frodo makes. After the fellowship has made camp, it falls to Frodo to decide where they should be off to next. While he is contemplating what he should do he is confronted by Boromir. He tries to convince Frodo to come with him to Minas Tirith, but when Frodo confesses that he does not trust to go that way, Boromir becomes angry and tries to take the Ring from Frodo. This incident convinces Frodo that he has to go off at once on his own.

Frodo rose to his feet. A great weariness was on him, but his will was firm and his heart lighter. He spoke aloud to himself. 'I will do what I must,' he said. 'This at least is plain: the evil of the Ring is already at work even in the company, and the Ring must leave them before it does more harm. I will go alone. Some I cannot trust, and those I can trust are too dear to me: poor old Sam, and Merry and Pippin. Strider, too: his heart yearns for Minas Tirith, and he will be needed there, now Boromir has fallen into evil. I will go alone. At once.' (Tolkien, pp. 523-524)

So, once again, Frodo attempts to go off on his own, understanding the danger of his mission, and not wanting to bring that danger to anyone else of his companions. He also understands that it is not safe for the Ring to be in the presence of the other members of the company and that it is his burden to bear. Once again however, his attempt is foiled by Sam, who makes sure that he comes along. Sam in fact, is the first person to realise that Frodo has already decided which way to go. "*Sam, who had been watching his master with great concern, shook his head and muttered: 'Plain as a pikestaff it is, but it's no good Sam Gamgee putting in his spoke just now.'*" (Tolkien, pp. 517) He is also the only one, after Boromir comes back and informs the others of his argument with Frodo, that realises what Frodo is going to do. What this brings to light is that of everyone, Sam is the one who understands Frodo the best, and Frodo, despite what he wanted, is happy that Sam is coming along.

Frodo actually laughed. A sudden warmth and gladness touched his heart. (...) 'So all my plan is spoiled!' said Frodo. 'It is no good trying to escape you. But I'm glad, Sam. I cannot tell you how glad. Come along! It is plain that we were meant to go together. We will go, and may the others find a safe road. (...) I don't suppose we shall see them again.' (Tolkien, pp. 530)

So the book ends with Frodo and Sam splitting up with the rest of the party and heading for Mordor.

6.2.2 The land of shadow

As we move on to the second book, we do not actually meet Sam and Frodo again for quite a while, as the book is split in two parts, and it is the second one that follows them. What this means is that by the time we get to them, the stories of the rest of the fellowship have progressed long past Frodo and Sam. This is an interesting form of storytelling, but ultimately it does not matter much for how Frodo is characterized. The first major event for Frodo in this book comes when he and Sam finally confront Gollum (pp. 802), who has been tracking them

for a long time. The first thing to make note of here is that Frodo decides to spare Gollum instead of killing him. He recalls the conversation he had with Gandalf about Gollum and how it was pity that stopped Bilbo from striking him down. And now Frodo feels the same way.

“‘Very well,’ he answered aloud, lowering his sword. ‘But still I am afraid. And yet as you see, I will not touch the creature. For now that I see him, I do pity him.’” (Tolkien, pp. 803)

The second aspect that emerges, is the stern, commanding way Frodo talks to Gollum, how he is able to bow Gollum to his will. This greatly startles Sam, who has never seen his master behave in this manner before. It also appears to Sam that Frodo is growing, becoming a tall shadow. But at the same time, he sees that there is some connection between the two, something that links them together.

Frodo drew himself up, and again Sam was startled by his words and his stern voice. ‘On the Precious? How dare you?’ he said. (...) ‘No! not on it,’ said Frodo, looking down on him with stern pity. (...) For a moment it appeared to Sam that his master had grown and Gollum had shrunk: a tall stern shadow, a mighty lord who hid his brightness in grey cloud, and at his feet a little whining dog. Yet the two were in some way akin and not alien: they could reach one another’s minds. (Tolkien, pp. 807)

This apparent similarity between Frodo and Gollum is something to keep in mind as the story progresses, as they have both been touched by the power of the Ring. The next thing to draw attention to is when Sam brings up their remaining food and wondering whether it will be enough to carry them all the way and then back again. Frodo’s response to this shows how the toll of the journey is starting to affect him and how he is beginning to lose hope that they will ever make it even one way, let alone that they will come back.

‘I don’t know how long we shall take to – to finish,’ said Frodo. (...) ‘But Samwise Gamgee, my dear old hobbit – indeed, Sam my dearest hobbit, friend of friends – I do not think we need to give thought to what comes after that. To *do the job* as you put it – what hope is there we ever shall? And if we do, who knows what will come after that? If the One goes into the Fire, and we are at hand? I will ask you, Sam, are we ever likely to need bread again? I think not. If we can nurse our limbs to bring us to Mount Doom, that is all we can do. More than I can, I begin to feel.’ (Tolkien, pp. 815-816)

Frodo is also feeling the effect of taking the Ring closer and closer to Mordor. It is described as an actual increasing weight that he has to carry, but more so than the Ring itself Frodo is feeling what he calls the Eye. It appears to him as a growing will, one whose gaze pierces all and who is always looking for him (pp. 824). Upon arrival at the black gate it becomes clear that it is nigh impossible to enter Mordor undetected that way, and Gollum suggest they take a different, secret passage. As Frodo is deliberating with himself on if he should follow Gollum's path we get a good look at his mental state and further confirmation that he is starting to lose any hope that he will complete his journey.

How they should enter it Gandalf had not said. Perhaps he could not say. (...) But into Mordor, to the mountain of Fire and to Barad-dûr, since the Dark Lord rose in power again, had he ever journeyed there? Frodo did not think so. And here he was a little halfling from the Shire, (...) expected to find a way where the great ones could not go, or dared not go. It was an evil fate. (...) Which way should he choose? And if both led to terror and death, what good lay in choice? (Tolkien, pp. 842)

Despite this though, he is still determined to carry on, which shows the true strength of his character, and of course Sam is there to support him all the way. As they continue they run into a group of Gondorian soldiers and are for a time separated from Gollum (pp. 858). When the Gondorians find Gollum Frodo asks them not to hurt him, but instead to let him continue to lead them (pp. 897). It shows that Frodo does have pity and compassion for Gollum, despite his wicked ways, and he feels terrible about it when he has to convince Gollum to come with him, despite knowing that the Gondorians will take him captive and that this is the only way for Frodo to save his life.

His heart sank. This was to much like trickery. He did not really fear that Faramir would allow Gollum to be killed, but he would probably make him prisoner and bind him; and certainly what Frodo did would seem a treachery to the poor treacherous creature. It would probably be impossible ever to make him understand or believe that Frodo had saved his life in the only way he could. (Tolkien, pp. 899)

As they start off again Frodo is once again becoming more and more weary as the road continues on. Several times it seems as if he is moving in an almost trance-like state, not even fully aware of where he is going or what he is doing. At the gates of Minas Morgul he is nearly overcome with sadness as he feels like he is too late, and that even if he somehow

where to complete his mission it would all be for naught (pp.926). If it had not been for Sam, pulling him out of his stupor, I find it unlikely that Frodo would have been able to get back up again. Sam is also able to provide comfort for Frodo when they are sitting down for a rest before the final push to get into Mordor (pp. 932). Here, during their journey through Shelob's Lair, we see that Frodo still has not lost all his courage, as he faces down Shelob and is able to hold her off (pp. 943). The joy is short-lived however, as when they get out of the lair, Frodo is overcome with wild excitement and he rushes headlong out and is caught. Sam is able to drive her back, but the book ends with Frodo being captured by a group of orcs.

6.2.3 There and back again

As we move on to the third and final book, the first point I want to highlight is not directly related to Frodo, but to Sam and what he decides to do. Considering that he had taken the Ring before Frodo was captured he might have decided to go on alone, to try to finish the quest, but when he learns that Frodo is still alive, it becomes clear to him that he only has one option. That he "*must rescue his master or perish in the attempt.*" (Tolkien, pp.1173) This truly shows just how deeply Sam cares about Frodo and the length he would go to for him. When they are eventually reunited, we get what I consider the first real evidence of just how deep the Ring's hold over Frodo has gotten. Initially he despairs, as he believes the orcs have taken it and the quest have failed, but after learning that Sam has taken it he demands it back and grows momentarily angry with Sam.

'Give it to me!' he cried, standing up, holding out a trembling hand. 'Give it to me at once! You can't have it!'(...) 'No, no!' cried Frodo, snatching the Ring and chain from Sam's hands. 'No you won't, you thief!' He panted, staring at Sam with eyes wide with fear and enmity. Then suddenly, (...) he stood aghast. A mist seemed to clear from his eyes, and he passed a hand over his aching brow. The hideous vision had seemed so real to him (...) Sam had changed before his very eyes into an orc again, leering and pawing at his treasure, a foul little creature with greedy eyes and a slobbering mouth. (Tolkien, pp. 1192-1193)

Of course he is immediately horrified about what he said and apologizes to Sam. This moment though foreshadows later events, and truly shows how changed Frodo has become, and that he has a very limited amount of strength and resistance left. As they slowly make their way towards Mount Doom and the end of their quest, Frodo is becoming weaker and weaker. On several occasions Sam has to physically support, or even carry him, but it appears

that they are going to finally to complete their journey. When the moment finally comes however, Frodo's will is at last broken, and he is unable to destroy the Ring (pp. 1237). This is where his decision to spare Gollum's life is repaid as he jumps on Frodo, and bites off the finger with the Ring on, before losing his balance and falling in the lava. The destruction of the Ring brings Frodo back to himself and Gollum's role is not lost on him as he remarks to Sam:

'Yes,' said Frodo. 'But do you remember Gandalf's words: *Even Gollum may have something yet to do?* But for him, Sam, I could not have destroyed the Ring. The Quest would have been in vain, even at the bitter end. So let us forgive him! For the quest is achieved, and now all is over. I am glad you are here with me. Here at the end of all things, Sam.' (Tolkien, pp. 1239-1240)

For the rest of the story Frodo is relatively little involved. Immediately after their rescue he is laughing and celebrating with the others, but he has become rather quiet and somewhat shut in. He speaks little while they are on their return journey to the Shire, save only to ask that they pass quickly by Weathertop. He takes little part during the scouring of the Shire, and while he returns to a normal life afterwards Sam notices that he drops out of the going on in the Shire (pp. 1342). Eventually Frodo reveals the truth, that he is leaving Middle-Earth with Gandalf, Bilbo and the last of the elves. Sam is of course devastated by this, but Frodo explains why it has to be this way.

'So I thought too, once. But I have been too deeply hurt, Sam. I tried to save the Shire, and it has been saved, but not for me. It must often be so, Sam, when things are in danger: some one has to give them up, lose them, so that others may keep them.'
(Tolkien, pp. 1346-1347)

Ultimately then, while Frodo is also able to complete his quest, he does not get the opportunity to enjoy the fruits of his labour, unlike Harry. This then brings us to the last section of this chapter, the comparison.

6.3 Different but yet the same?

6.3.1 Similarities

When comparing the two characters I will first start with looking at what similarities there are between them. The first one that emerges is that they share a similar background, with both being orphans who lives with their aunt and/or uncle. This is in fact a common aspect of many

kind of fantasy protagonists (See also characters like Luke Skywalker from Star Wars or Eragon from the Inheritance Series). Of course there are big differences in how they are treated, Bilbo is very kind to Frodo, while Vernon and Petunia are horrible to Harry. Another similarity is that both are shown to possess uncommon bravery. Neither of them are the archetypal strapping hero that faces down evil with sword in hand, in fact it is specifically mentioned how they are both smaller and less physically imposing than many of their allies. Despite this they are both willing and able to face down the forces of darkness. Coupled with this bravery however, is a tendency in both to feel like they have to do everything on their own. We see this with Frodo, both when he decides to leave the Shire, and again when he wants to split from the fellowship. Harry, meanwhile, attempts it on several occasions, for instance when going after the Philosopher's stone in the first book, when launching a rescue attempt for Sirius in book five, and when preparing to set out for the Horcruxes in book six. Both Harry and Frodo are foiled however and prevented from going alone by their friends. In fact, both are accompanied by a number of faithful companions, Ron and Hermione for Harry, and Sam with Frodo. As we have seen, these companions follow our main characters on their quests, and neither Harry nor Frodo would likely have managed to complete their missions on their own.

Ultimately of course, both have destinies that no one else can do. Frodo has to be the one that carries the Ring, and only Harry has the ability to defeat Voldemort once and for all. The final outcome of these destinies are different however, which leads nicely into looking at how these two characters differ from one another.

6.3.2 Differences

The first difference I want to highlight is their age and how it relates to the passing of time in the stories. Harry starts his story as a child, and we follow his journey as he grows up over the course of many years. Frodo, meanwhile, is already an adult by the time he starts on his journey, and the entire journey takes place over a single year. The biggest differences this causes in their character development is that Frodo's only focus is on completing his quest, while, as we have seen, Harry also has to deal with the challenges of growing up. I would argue that this also influences the second major difference, their temperament. While Frodo does have one moment where he snaps at Sam, due to the corrupting power of the Ring, for the most part he is a kind and quiet individual. With Harry on the other hand, we saw how he struggled with serious anger issues, and in fact spent large parts of book five in various

degrees of anger and frustration. This is also related to the fact that Harry has several falling outs with his friends, where particularly the two with Ron, affects him greatly, while Frodo and Sam do not have any.

On the topic of their friends, and particularly Sam and Ron, an aspect that was highlighted was the different standings that they represent. Harry and Ron, and indeed the rest of Harry's friends as well are all essentially on equal standing, although Harry is in effect the leader. With Frodo and the other hobbits, especially Sam, he is very much of a higher standing, being both the oldest and the most privileged of them.

Another difference is in how their journeys are structured, which also relates to the passage of time mentioned above. Frodo, while he does have individual challenges to overcome; being captured by the barrow-wights, deciding to split from the fellowship, what to do with Gollum etc. his quest is very much a singular one. He sets out from the Shire for the purposes of the destruction of the Ring, and this is his goal for the entire story. Harry meanwhile, has much more self-contained obstacles, particularly in the first few books. Most of these do involve Voldemort in some capacity, but it is not until book five that his final quest is established.

The last set of differences that I want to highlight concerns the ultimate fate of the two characters. As detailed in the section on similarities, both Frodo and Harry have a task that only they can perform. However, while Harry is successful in his task, both laying down his life and then defeating Voldemort once and for all, Frodo actually fails his. When the time comes for him to finally throw the Ring away to destroy it, he is not able to do it. So had it not been for Gollum biting off the finger with the Ring on, before falling in the lava, the quest would have failed. What transpires after the completion of their quests is also different.

Afterwards Harry goes on to marry Ginny and gets his happily ever after as he sends his own kids off to Hogwarts. Frodo, meanwhile, does not get to enjoy his happy ending, as he has to leave the Shire, in what I would argue is a pretty clear metaphor for him dying, particularly as he makes direct mention of the wound he suffered at Weathertop never fully healing.

6.3.3 Final thoughts

Ultimately then, how do these two characters relate to James' claim? As we have seen, it is clear these two characters share many similarities. However, I would argue that they are not cut from the same cloth. There are several important differences between them as well. So did Rowling with her main character consciously attempt to emulate Tolkien's Frodo? Or did she instead try to make one that would deliberately be as different as possible? To my mind,

neither of these descriptions are accurate. Instead I would argue that Harry is much more modelled on the classical hero's journey, which was conceptualised by Joseph Campbell in his seminal "*The Hero with a Thousand Faces*." Using Campbell's different stages, Departure, Initiation, and Return, Colbert demonstrates how Harry fits neatly into this structure (Colbert, pp. 208-217). Harry starts off in the ordinary world, unaware of his abilities. He then receives a call to adventure, in the form of Hagrid, informing him of his true nature and origin. Hagrid also becomes his first protector and guide, the one to lead him into the new world. Over the course of the series, multiple individuals serve the role of protector, including Dumbledore, Sirius and even his parents. In each book Harry faces a series of trials, and at the end must fight a symbolic, or in the case of the Triwizard Tournament, literal dragon. At the end when he finally confronts Voldemort, he has conquered both his fears, and almost death itself, and as the true master of the Deathly Hallows, strikes Voldemort down.

Now, many of the elements of Campbell's structure can be applied to Frodo as well, in fact some fit him better than Harry. Frodo also receives a call to adventure that takes him out of the ordinary world of the Shire, meets a protector and guide, faces many trials, before finally returning to the ordinary world, but finding that he no longer belongs there. Nevertheless, it is my conclusion, and others are free to disagree, that while Harry and Frodo might both share elements of the same basic structure, they can comfortably be seen as their own unique characters.

7. The matter of evil

When looking at fantasy, one of the most common inclusions is some form of struggle between good and evil. This might take the form of a king that needs to be overthrown, a magical object that must be destroyed or an evil presence that needs to be vanquished. As one of the originators of the genre, it is therefore no surprise that LOTR also features this as a key aspect of the story. However, HP also has the battle between good and evil as the primary driving force. There are of course multiple different aspects of this battle that can be discussed in detail, but what this chapter will focus on is how Tolkien and Rowling portray evil. How is it talked about? What feelings does it evoke in the characters? These questions are what will be analysed in this chapter. I will also provide a reflection on the similarities and differences in how evil is represented.

As analysing every single instance would take too much time, a few specific events have been chosen for highlighting. For Tolkien, the chapters *The Shadow of the Past* and *The Council of Elrond* were selected. While for Rowling a selection of the various conversations between Harry and Dumbledore will be used. The reason for choosing these specific examples was that I felt that they provided the most detail-condensed answers to the questions asked at the beginning. In addition to this, two chapters from *A Companion to J.R.R. Tolkien*, edited by Stuart D. Lee will be used as the theoretical background. A summary of these will first be given.

7.1 Theoretical background

The first chapter, titled *Later Fantasy Fiction – Tolkien's Legacy* written by Dimitra Fimi examines several later fantasy authors in relation to Tolkien. The section of interest is the one that looks at Rowling. It argues that Rowling follows in the footsteps of much previous fantasy, by exploring the origin of evil and taking an interest in the themes of death and immortality (Fimi, pp. 346). While the figure of Lord Voldemort originally starts out as a classical Dark Lord, the later books delves deep into his childhood and how he came to be who he was. Fimi argues, that Rowling, much like Tolkien, brings up the question of where evil comes from. This question, Fimi says, is of particular interest in our modern society, where understanding and defining evil has become very difficult (Fimi, pp. 346). It is worth keeping in mind however that when talking about the origin of evil in relation to Tolkien, Fimi is using the character of Melkor/Morgoth as reference, not Sauron. This is something to

keep in mind when comparing LOTR and HP, whether Tolkien provides any form of direct background and origin for Sauron.

Inexorably tied with the matter of evil, is dealing with death, something that, according to a quote given by Rowling to Geordie Greig in 2006 and cited by Fimi, is what the Harry Potter books are largely about (Fimi, pp. 346). Voldemort's obsession with conquering death is a central part of the character and one that Rowling says she understands perfectly, as the fear of death is something we all have. This understanding is very much in line with Tolkien's view in LOTR, as he states in one of his letters, quoted by Fimi, that LOTR "*is about Death and the desire for deathlessness*" (Tolkien, in Fimi, pp. 346). Whether this focus on death is showcased in the passages that will be looked at here is something to pay attention to.

The second chapter that will be used is written by Christopher Garbowski and is titled *Evil*. In this essay Garbowski tackles the topic of evil in Tolkien's work through a set of different lenses; war, sub-creation, power and domination, active evil vs evil as privation, polyphonic good vs monological evil and evil and history. Each of these sections will be given a brief overview.

In the section on war Garbowski presents several arguments and examples for how his experiences in the war affected Tolkien. Referencing John Garth, Garbowski explains how the elves and orcs are not direct allegories for the British and Germans, instead they represent the different human qualities that Tolkien witnessed from both sides during the war (Garbowski, pp. 420). Garbowski also makes note of the argument that many of the elements of fantasy that Tolkien employed symbolises experiences he went through. He finally argues that without the war, Tolkien might never have written about the struggle between good and evil (Garbowski, pp. 420).

The section on sub-creation starts with a look at fantasy and evil in more general terms. Here, Garbowski argues that in fantasy good and evil are representations of different worldviews and their struggle centres around the protection of the innocent world's integrity (Garbowski, pp. 421). This, he claims, is an effective description of the conflict in LOTR. This is perhaps best illustrated by *The Scouring of the Shire*,³ where what was once a beautiful and peaceful place has been ravaged. Another typical aspect of evil in fantasy that Tolkien uses is that its followers are described as grotesque and monstrous. Here, Garbowski used Tolkien's own

³ Detailed on page 14

lecture on Beowulf as reference; Tolkien argued that evil, in this case a monster, serves different functions based on what the story needs (Garbowski, pp. 421). Also, claims Garbowski, the monsters in Tolkien's writing can be seen as a symbol for how reason can never fully understand evil. Lastly, the section explains Tolkien's idea of sub-creation, that the author becomes God of their created world, and the importance of treating evil seriously. If the presence of evil is to have meaning, it cannot be presented ironically, or as something that can be easily explained away (Garbowski, pp. 421).

With the section on power and domination Garbowski attempts to show how evil forces exert their power in Tolkien's world. It starts with a short look at Tolkien's own creation myth from *The Silmarillion*. Garbowski explains how there is a process of degeneration established in this story that continues in *LOTR*. Sauron is no sub-creator, merely a craftsman (Garbowski, pp. 422). He is never physically present in the story, instead functioning as an ominous presence that surrounds and weighs on the fellowship. The Ring itself however is always in the possession of the good characters, an object that might corrupt the heroes at any moment. An essential part of the struggle between good and evil is therefore according to Garbowski, internal (Garbowski, pp. 423). The Ring also shows off the modern idea that power corrupts, and that simply being powerful and virtuous is no guarantee against its corruption.

The section on active evil vs evil as privation covers the debate on whether the evil in *LOTR* is an active present that must be resisted, or if it is simply the perversion of good. Many of the arguments presented in this section were laid out by Tom Shippey, but several other critics are also highlighted. The key question, as presented by Garbowski, is whether the evil in Tolkien's world adheres more to an Augustinian view, that "*evil is nothing*" (Garbowski, pp. 424) something that cannot create, only pervert, or to that argued by King Alfred, that evil is real and "*must be actively resisted*" (Garbowski, pp. 424). Garbowski himself does not fall down on either side of the argument, merely contending himself with giving the readers the option on deciding for themselves.

In the section titled polyphonic good vs. monological evil Garbowski explores what it is that gives the people of Middle-Earth the strength to fight back against evil. He opens with the argument that there exist a form of divine influence in Middle-Earth, seen, for instance in Gandalf's belief that Frodo was "meant" to carry the Ring (Garbowski, pp. 426). However, the most important aspect is the fact that all the good people of the world see themselves as part of something bigger, something worth fighting for. All of these different groups of people

possess these virtues, but they are separated at the beginning of the story, which is part of Sauron's plan (Garbowski, pp. 427). As such, the coming together of the fellowship, with its diverse set of members becomes critical in the face of evil. Good in Tolkien's stories then, is recognizable in its variety, while evil is signified by a strict monotony.

The final section on evil and history explores Tolkien's view on the triumph of good over evil. Using both a quote from one of Tolkien's own letters, and several passages from the later pages of the story, Garbowski argues that Tolkien presents a view where there are clear and terrible costs to confronting great evil. Any victory will be filled with sorrow, but this is a price ultimately worth paying (Garbowski, pp. 429). This can be seen in how Frodo's quest to destroy the Ring does succeed, but it also causes irreversible damage to him.⁴

7.2 Evil in Lord of the Rings

7.2.1 The Shadow of the Past

Having covered the theoretical background, it is time to start the analysis of the primary texts. As laid out earlier two different chapters from LOTR will be used for this. The first of these, titled *The Shadow of the Past* are when Frodo, and the reader, first learn the truth of his ring, where it came from and what this means for Frodo. The first passage to make note of is when the hobbits start hearing tales of Mordor. It is described as a name that are only known to the hobbits as legends out of the past, but at the same time one that makes them uneasy; "*like a shadow in the background of their memories; but it was ominous and disquieting*" (Tolkien, pp. 57). What this illustrates is how great an effect the power of evil has over the world of Middle-Earth. Merely the whispers of a name long forgotten is enough to cause feelings of unsettlement. The words used here are also of note. It is described as a shadow, a term that is used over and over by Tolkien when describing Sauron. It is clear that Tolkien wanted to communicate the idea that evil is not just represented physically, but that its true power comes in the form of the effect it has on the good characters. This is something that we will see again later when looking at Voldemort.

Soon after Gandalf returns to the Shire, he informs Frodo that his ring is the One made by Sauron, and how he is now constantly seeking it. This terrifies Frodo, and this fear is described as if it seems "*to stretch out a vast hand, like a dark cloud rising in the East and looming up to engulf him.*" (Tolkien, pp. 67) This description fits well in with Garbowski referring to the fact that Sauron is never physically present in the story. Merely the mention of

⁴ See page 67

him, causes Frodo to feel as if some great power is reaching out to consume him. He feels as if he is no longer attached to his own body and when he looks into the embers of his fireplace Frodo gets a vision of a great well of fire and feels the terror of Mount Doom on him.

This chapter does also provide a certain amount of background information on Sauron, but only in the sense of Gandalf giving Frodo a very brief explanation as part of tracing the history of the Ring and how it ended up with Bilbo. It is also alluded that Gandalf told Frodo more than what we can read, and the entire history of Sauron can be found in other writings. However, unlike what Fimi argues in her essay, Tolkien does not provide any great amount of history and background for him in the story.

7.2.2 The council of Elrond

As laid out earlier, the second chapter that will be looked at is *The Council of Elrond*. In this chapter several important characters, including the ones that will make up the fellowship, meet in Rivendell to learn the history of the Ring, and discuss what is to be done with it. The first thing I want to make note of is something that Garbowski also mentions in his article, that Elrond says that nothing, not even Sauron, was evil in the beginning. While this does not give any direct form of background for Sauron, it illustrates well Tolkien's view of evil as a corruption of good and not something that exist naturally. The chapter also provides some more of the history of the Ring; how Sauron, appearing in fair form, deceived the elven smiths into making the other rings before he made the one to dominate the rest. That Sauron used a fair form to trick the elves is something to keep in mind for later, as Voldemort in certain ways relies on the same tactics. While not from any of the referenced chapters, a quote from Frodo when he first meets Aragorn provides a good illustration. He says that a servant of the enemy would "*seem fairer and feel fouler if you understand.*" (Tolkien, pp. 224) This is a quote that both fits well with the aforementioned talk of Sauron, but as we shall see later, also applies to several characters in Harry Potter who often turn out to be different to what they first appear.

Moving back to the council, I want to draw attention to Boromir and his talk of Sauron. The talk looked at so far has been amongst characters who either know little about the great evil or were directly involved in the conflict. It is interesting therefore to see how it is described by someone for whom Sauron is nothing but a distant legend, but the threat of Mordor very real. Boromir describes Sauron as "*the nameless enemy*" (Tolkien, pp. 319) and "*a dark shadow under the moon*" (Tolkien, pp. 320) As mentioned earlier the use of the word shadow as a

description is one that appear several times, used by many different people of Middle-Earth. But Boromir also calls Sauron ‘The nameless enemy’ which shows how even the very name of Sauron is enough to strike fear in his enemies.

7.2.3 Evil in LOTR – Final Thoughts

With the examples and reflections provided, it is now possible to provide an answer to the questions asked at the start with regards to evil in LOTR. First, on the matter of how it is talked about we have seen that evil is talked about with both fear and respect. It is also made clear that it is not a natural or original part of the world, but something that emerged later. Next, it has been shown how the mere mention of evil causes great distress in the good characters, and that even their name is avoided by some. Finally, it has been shown how servants of evil are very often described as shadows. While they may at time appear fair, there is often a foul feeling about them. All of this have provided what I believe to be the key aspects of evil in LOTR as it pertains to the topic of this chapter. The question now becomes how this compares to HP.

7.3 Evil in Harry Potter – A comparison to LOTR

7.3.1 Talk of evil

Unlike with LOTR, where the examples were picked from two specific situations, when it comes to HP, they will be spread more out from several of the books. As the key here is the comparison, all the examples used will be set up against what was discussed in the previous section. Of course, the topic questions; how evil is talked about, and what feelings it evokes, also apply here.

To start off I want to draw attention to the first conversation between Harry and Dumbledore, at the end of the first book. Although Voldemort has been mentioned and discussed several times up to that moment, this is the first time that a more in-depth discussion is had. When Harry begins to ask his questions, he starts by saying Voldemort’s name, before correcting himself to use You-Know-Who, like most of wizardkind. So, much like Boromir being afraid to speak Sauron’s name, Voldemort too has the ability to strike fear with only a mention of his name. In fact, Voldemort elicits a far stronger reaction, as almost every witch or wizard that hears the name physically recoils. It is also worth to keep in mind, that at this point in the story, as far as almost all witches and wizards believe, Voldemort have been gone for a decade.

Dumbledore then tells Harry that he should use Voldemort's proper name as "*Fear of a name increases fear of the thing itself.*" (Rowling, pp. 216) This provides a good look at how some of the principal characters treat evil in Rowling's books. Making sure to use the real name of evil characters both lessens their mystical properties and underlines the fact that for all their power they are still merely human. This is something that is even clearer in Harry's final showdown with Voldemort, where he refers to him as Tom, his given name. This shows that Harry has conquered all his fear and that in that moment, Voldemort no longer has any power over him.

There are two more examples, albeit not from conversations between Harry and Dumbledore, that show just how much power Voldemort and his supporters still hold over wizard society. The first is the appearance of the Dark Mark during the quidditch world cup, the second the fact that the Ministry of Magic spends most of the fifth book denying Voldemort's return and trying to discredit Harry and Dumbledore for their claims. When the mark shows up Harry and Ron does not understand why it causes such a panic, just being a floating symbol in the sky. Mr. Weasley then explains how Voldemort's followers would send up the mark wherever they killed and "*seeing it again was almost as if Voldemort himself were back*" (Rowling, pp. 158). In comparison to LOTR I would argue that the presence and mention of evil has a greater impact on characters in HP. One likely reason for this is that while both stories start at a similar place, with the primary antagonist thought defeated, it is much more recent in HP. Sauron has been gone for hundreds, if not thousands of years, and for most of the people of Middle-Earth he is no more than a whisper of old stories. With Voldemort, every witch and wizard still know him, and most of them were alive during his first reign of terror.

7.3.2 Describing evil

Moving on, the next question that will be considered is how the servants of evil is described in the Harry Potter books. This will also tie into the argument raised by Fimi in her essay, that Rowling is interested in the origin of evil. The first real evidence of this comes in the second book, when Harry interacts with the sixteen-year-old Voldemort through his diary. But although this does give some background, it is not until the sixth book that we really start digging into Voldemort's past. The ultimate goal of this, as we eventually learn, is for Harry to discover Voldemort's creation of the Horcruxes, and the key to defeating Voldemort once and for all. Unlike Fimi, I would therefore argue that Rowling is not focusing on the origin of

evil due to wanting to explore how it originates. Instead, she does it to provide her protagonist with the information required to defeat evil.

When we looked at Sauron, I highlighted how Elrond described that when tricking the elves into making the Rings, Sauron *“was not yet evil to behold”* (Tolkien, pp. 315) Similar descriptions is given of Voldemort. When Harry first sees the young Voldemort, he notes how he is very handsome and tall for his age. Dumbledore also remarks how Voldemort was able to charm many of the other teachers, just like Sauron charmed the elves. However, Harry also notes that when Voldemort learns that he is a wizard it causes a dramatic change in his appearance. *“His face was transfigured: there was wild happiness upon it, yet for some reason it did not make him better-looking; on the contrary, his finely carved features seemed somehow rougher, his expression almost bestial.”* (Rowling, pp. 254) This is something that happens on other occasions as well. Much like Sauron we can observe that Voldemort was also able to use tricks and deception in earlier stages, but their true nature were eventually revealed. When Harry finally stands face to face with the resurrected Voldemort there is nothing left of the once handsome boy. *“Whiter than a skull, with wide, livid scarlet eyes, and a nose that was as flat as a snake’s, with slits for eyes. (...) His hands were like large pale spiders (...) the red eyes, who’s pupils were slits, like a cat’s”* (Rowling, pp.697-698) This description also provides an interesting comparison to Sauron, who is never given a full physical description. His ‘brand’ of evil was much more mental, and while as we have seen, Voldemort does also have this effect, he is also given a physical description that clearly marks him as something unnatural and monstrous.

7.4 Summary – On Evil in Fantasy

To summarise the findings of this chapter, there are clearly many similarities between how Tolkien and Rowling describe their primary evils. Both present them as these great forces whose mere mention has great effect on other characters. Both starts their respective stories in a diminished state, where they are believed by many to have previously been vanquished. Both have stored parts of their power in objects, whose destruction is required for their ultimate defeat. Neither start out as inherently evil and both were able to use cunning and charm to obtain much of their power. Some differences do emerge, however. While Rowling spends much of the sixth book diving into Voldemort’s past, giving the reader a fairly complete picture of him, Tolkien does not. Instead he redirects Sauron’s backstory into supplemental material, something for only the most dedicated reader to discover. Sauron also

never takes full physical form and is instead more of a presence looming over the characters, while Voldemort from the fourth book onwards is very much directly involved. All in all, it is my conclusion that while Rowling does draw from and relies on many of the same aspects as Tolkien, Voldemort does represent a different form of evil to Sauron.

8. Conclusion

Over the course of this thesis I have attempted to answer the question of whether Edward James' claim, that all fantasy after Tolkien is either imitating him or distancing itself from him, holds true. By comparing elements such as main characters, word origin, language and evil, I have discussed how this claim pertains to *Harry Potter* by J.K. Rowling. As we have seen, there are undoubtedly many similar aspects at play in the two works. At the same time, certain differences have also come to light. I will now cover each chapter in turn, before giving my overall final thoughts. These will also include some reflections on what my results might do for the study of fantasy. At the end I will also provide some possible avenues for further study.

8.1 Archaic writing

To start, let us look at the chapter on archaic writing. Here I showed how both Tolkien and Rowling likes to utilize language as a tool in their worldbuilding. They both use the way characters speak to create distinctions between the world of the reader, and the world of the story. Tolkien in particular, makes extensive use of archaic language, which was shown to be very effective in creating this distinction. He also makes great use of language to create clear distinctions between the different lands and people of his story. Rowling, on the other hand, used language in a different manner, relying less on true archaic forms, and more on formal language, and 'latinified' English names for her spells. The purpose of this was less to place her world in the past, and more to separate it from the non-magical world. Despite these differences, from the evidence examined, I concluded that both Tolkien and Rowling were very conscious in how they employed their writing and word choice.

8.2 The origin of names

This chapter traced the historical roots and word origins for many of the names of places and characters in LOTR and HP. It demonstrated how both Tolkien and Rowling found inspiration in old words and languages. I also highlighted how both like to hide or foreshadow details about their characters in their names, and how both, though Rowling to a greater extent, relied on clever puns and wordplays for their names. There emerged some important differences as well, however, chief amongst them were they take inspiration from. For Tolkien, most of the names looked at came from Old English, while Rowling tended to pick her names from Ancient Greek or Latin. Ultimately, I saw their choices here as an extension of their work on language. While they used different sources, they both created names that help immerse the reader, and sets up the individual journeys of the different characters.

8.3 Primary Characters

In the chapter on primary characters I followed the evolution of Harry and Frodo over the course of their adventures. I demonstrated how their individual growth was affected by the challenges they faced, as well as the different time-perspective in their stories. While Harry's personality evolves a lot over the course of the books as he grows up, Frodo remains much more the same. The changes in him instead are brought on by the slow corruption of the Ring. In the comparison I presented my argument that Harry is not a simple copy-paste of Frodo, instead being modelled much closer on Campbell's Hero's Journey. This structure was also shown to be applicable to Frodo as well, although with some important distinction. My verdict then became that Rowling did not in any significant way copy, or imitate Tolkien with her protagonist.

8.4 Evil

The final comparative chapter examined how Tolkien and Rowling treated the presence of evil in their stories. Particularly their respective Dark Lords, Sauron, and Voldemort. Using a combination of theory and examples it was demonstrated how Tolkien portrays Sauron as something formless, 'shadow' being a word that was frequently used. Often it was felt by Frodo as a great presence reaching out for him. This was in contrast to Voldemort who has a very clear physical existence in the story. However, both Tolkien and Rowling underlined the fear that their Dark Lords elicits, by many good characters refusing to utter their name. In the end, it was my conclusion that despite many similarities Voldemort represents a different take on evil.

8.5 The Verdict

Having now summarized my findings in this thesis, it is time to reach a final verdict. Based on what I have showcased I find that I disagree with James' claim. While it is definitely true that Tolkien was hugely influential in the development of fantasy, I find it wrong to claim that none since have done anything unique. There are certainly examples of fantasy either directly imitating or opposing Tolkien. For imitation, I have already mentioned Christopher Paolini's Inheritance series, whose first novel, *Eragon*, is essentially a combination of LOTR and *Star Wars*, who shares many similarities with Tolkien's work. Perhaps the best example of an author attempting to oppose Tolkien is Michael Moorcock, whose books about the amoral albino Elric of Melinboné is described by James as "*deliberately as far from Tolkien's aesthetic as Moorcock was able to manage*" (James, pp. 72). Despite this, to say that this claim applies to all authors of fantasy to me becomes a gross simplification. Yes, Rowling

might have borrowed certain elements, and perhaps, if James had argued that all fantasy is influenced by Tolkien, I could be inclined to agree. However, based on my findings I am confident in declaring that with *Harry Potter* Rowling has created something truly unique. By taking the fantasy out of the Middle-Ages, adding elements of the boarding school story, and a splash of modernity, she has ensured the story of the boy with the glasses will live forever in the minds of her readers.

8.6 Why it matters and further research

At the end I want to provide some final reflections on why my results are significant, as well as suggest some possible opportunities for those that might be interested in studying either these works specifically, or fantasy literature generally. It is my hope and belief that the results I have reached with this thesis can provide a new angle in the study of fantasy. By showing that not all fantasy has to be reliant on following Tolkien to be successful, it might hopefully be possible to study works of fantasy on their own merit, without the need to constantly compare to *Lord of the Rings*. In addition, this thesis might help increase the appreciation for some lesser known and studied aspects of fantasy, such as the care that goes into the creation of names, and the role that language has on a text's ability to immerse.

To suggest some further research, for those specifically interested in the primary texts studied here, I will provide two examples. First, both series have been adapted into hugely popular movies, but these movies also make some interesting changes in comparison to the books. This is particularly true for LOTR where the films significantly speed up the early sections in the Shire, as well as shift around the age of the hobbits. How these, as well as the other changes, impact the story and characters would make for a fascinating discussion. The second suggested study would be to dive deeper into some of the aspects that were only touched upon here. This could for instance be the importance of friendship in these stories, looking closer at just how important that is for good's triumph over evil. Another recommendation could be to analyse how Tolkien and Rowling transforms and adapts mythology for their stories. Which mythological creatures show up in their worlds? How do these compare to their mythic origin? Why are these in particular used?

For further study of fantasy in general, I would suggest expanding on the work done in the chapters on language and names and look at how other popular fantasy authors approach this element of their writing. This could also possibly be expanded into a deep look at the concept of worldbuilding in fantasy. How do different authors go about the challenge of creating their

own world? Are there any hallmarks that commonly occur? How expansive should it be? Here it would be especially interesting to interview a number of authors and get their own opinion on the matter.

8.7 An end, once and for all

As a few closing words I would like to say that I hope this thesis has provided some new understanding and insight, and to all those who love fantasy; look forward to your next adventure!

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Appendix

Lord of the Rings

NAME	MEANING
Frodo	The wise one
Samwise	Half-wise
Peregrin «Pippin»	Wanderer The name of Charlemagne's father
Meriadoc,	The name of founder of Britany and ancestor of the House of Rohan
Éo (prefix) Éomer, Éowyn, Éothéod	Horse Horse + mare Horse + joy Horse People
Éorl Éorlingas	Warrior or nobleman Descendants of Éorl
Théoden, Thengel	Ruler Ruler
Grima	Mask
Saruman	Skill-man
Shelob	Female spider
Shadowfax	Shadow-hair
Gandalf	Staff-elf
Legolas	Green-leaves

The Harry Potter series

NAME	MEANING
Harry Potter	Henry (a king's name) or army
Albus Dumbledore	White + Bumblebee
Rubeus Hagrid	Red + Worried/Hag-ridden
Hermione Granger	Name of daughter of king Menelaus + Farm bailiff
Bellatrix Lestrange	Female warrior or name of a star
Draco Malfoy	Snake or Dragon + Bad faith
Remus Lupin	Name of founder of Rome + Wolf
Sirius Black	Name of the Dog Star
Azkaban	Place of destruction or Depths of Hell, "Alcatraz"
Inferi	The dead or the underworld
Diagon Alley	Diagonally
Grimmauld Place	Grim old place