APPLYING ANTHROPOLOGY TO FANTASY: A STRUCTURAL ANALYSIS OF

*THE LORD OF THE RINGS*

By

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B.A., University of Mary Washington, 2010

A thesis submitted to the Department of Anthropology
College of Arts, Social Sciences, and Humanities
The University of West Florida
In partial fulfillment of the requirements for the degree of
Master of Arts

2014
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ACKNOWLEDGMENTS

First and foremost, I would like to recognize my thesis committee, Dr. Robert Philen, Dr. Kristina Killgrove, Dr. John Worth, and Dr. Margaret Huber, for taking the time and effort to help me with not only my thesis, but my academic endeavors. Without these individuals, I would not be where I am now or possess the knowledge that I now have.

Secondly, I want thank my parents, Bonnie and Carl Estep. Despite their hardships in life, my parents have supported me through every decision I have made, encouraged me to pursue a higher degree, and were always there to cheer me on when times were tough.

Finally, I want to acknowledge my husband Brian, who has been my rock during the most stressful of times. Although we were often states, and at one point an ocean apart, he always managed to be supportive, loving, caring, and there for me. Without his love and support, I would never have had the strength to pursue my dreams.
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ABSTRACT

APPLYING ANTHROPOLOGY TO FANTASY: A STRUCTURAL ANALYSIS OF
THE LORD OF THE RINGS

Christina C. Estep

_The Lord of the Rings, Harry Potter, Star Wars, and Star Trek_ are but a few modern mythologies that have become woven into the tapestry of our western culture. We have not only embedded these modern myths into our culture, but many people know these modern mythical cultures better than they do their own mundane, “real” culture. Although this study is unconventional in the field of anthropology, this thesis analyzes J.R.R. Tolkien’s work of _The Hobbit_ and _The Lord of the Rings_. The purpose of this thesis is to provide the evidence that fictional cultures are reflections of western ideals; that fictions can be studied like any other non-fictional culture using anthropological approaches; and that modern fictions are modern mythologies. In this thesis, the famous _The Lord of the Rings_ series is analyzed using the anthropologist Claude Lévi-Strauss’s structural perspective and his model of defining the meaning of myth to demonstrate how Tolkien’s _The Lord of the Rings_ canon can be successfully analyzed in the same fashion.
INTRODUCTION

The Lord of the Rings is one of the most popular fictional series. There are very few people who have not read the books or at least seen the movies. J.R.R. Tolkien created the Middle-earth universe from his own imagination, consisting of several unique cultures that have their own languages and histories. This thesis is not another literary criticism, but rather argues that anthropology can be applied to works of fiction and popular culture, specifically Tolkien’s work. This type of research may appeal to a wider audience inside and outside of the discipline of anthropology, get the public more involved in the discipline, and enable a better understanding of the elements and concepts of anthropology.

Research was inspired by the question “How does The Lord of the Rings have anything to do with anthropology?” This is the very question that I have been asked countless times since beginning my research into the application of anthropological theory and methods to the fictional series. From the non-anthropological point of view, the question reflects the non-anthropologist’s misunderstanding and confusion about anthropology. To an anthropologist, an analysis of fiction is a unique topic which may still lead to confusion; contemplating how one would apply methods and theories to a cultural context that does not exist in the mundane world. Anthropological methods can be applied successfully to introduce methods of anthropology to a wider audience outside of the discipline. This is accomplished by piquing interest through a variety of topics within popular culture through practical application.

The practicality of studying anthropology and the value of further academic funding for anthropologists have occasionally been questioned through concerns that the discipline is not useful in the work force or does not have an impact on larger society. The main reason for these accusations is simply that the public does not know much, if anything, about anthropology as a
discipline. As anthropologists, we are constantly struggling to meet these accusations head on with ideas about how to prove the importance of anthropology, how it impacts the workforce and the world, and why it is worth keeping at academic institutions. One way to help the public understand anthropology is to appeal to their interests, such as popular fiction. Works of fiction are reflections of culture itself in which the author interprets his or her own environment by producing culture. An audience can relate to this produced culture, a reflection, by making the fiction popular and thus reaffirming that culture can be reproduced and successful.

In Jason Dittmer’s (2005) article “Captain America's Empire: Reflections on Identity, Popular Culture, and Post-9/11 Geopolitics,” and Elizabeth G. Traube’s (1996) article “‘The Popular’ in American Culture,” the authors analyze how popular culture has helped shape social identity. Dittmer states that Captain America is an embodiment of the “American identity, by presenting for readers a hero both of, and for, the nation. Younger readers may even fantasize about being Captain America, connecting themselves to the nation in their imaginations” (2005:627). Traube’s article reflects on how the mass production of popular culture is consumed by a population and how these productions generate discourses on issues within society (e.g., feminism, racial issues, political, etc.) (1996:145-146). For example, The Hunger Games series suggests the ideals of feminism with a strong lead female character who is brave, independent, resourceful, and challenges political edicts to fight for what she believes (Pollitt 2012). The issues of political resistance of corrupting powers and the preservation of nature from modern industrial destruction resonate throughout the narrative of The Lord of the Rings (Carpenter 2000:192, 193; Shippey 2003:137). The issues presented in the fiction are issues that societies face in the modern era, allowing the reader to relate to the narrative. Entertainment (movies,
books, music) is the most popular form of mass production of popular culture, which many people consume and is easily relatable (Traube 1996).

This research on *The Lord of the Rings* reflects a cultural anthropological perspective using structuralism as the primary theoretical analysis. I have chosen structuralism to analyze my research because this theory most accurately encompasses the overarching topics and concepts conveyed in this thesis. *The Hobbit* and *The Lord of the Rings* are treated as primary sources. *The Silmarillion* and *Histories of Middle-earth* will be used as secondary sources because these works provide background information for the creation of characters, ideas, and concepts that are presented in *The Hobbit* and *The Lord of the Rings*. *The Lord of the Rings* and the construction of Middle-earth are reinterpretations of J.R.R. Tolkien’s ideas about culture, not necessarily his own experiences within his culture. Tolkien denied that his works reflected his personal experiences within his own culture or his experiences in World War I (Carpenter 2000:193). However, through his texts, Tolkien reproduced his interpretations of culture into a narrative that readers can understand even if he was unaware that he was doing so in some aspects of his work. If Tolkien had not understood his own culture, then the series of *Lord of the Rings* would have failed and been unsuccessful because readers would not be able to relate. The reader is able to relate to *Lord of the Rings* because there are elements of Western culture that one is able to recognize and relate to ideas of one’s own culture.

Tolkien’s works are a cultural invention, which reflect his interpretation of culture. In his essay “Thick Description,” Clifford Geertz states that anthropological writings are fiction because they are something that have been created as “thought experiments” (1973b, 15). Geertz states that ethnographies are the experiences that are being portrayed by the observer and experiences are defined as reinterpretations of a studied culture. In ethnographies, the only
accounts or retellings of the experiences that are being portrayed are those of the author; it is the only truth. Geertz argues that ethnographies are reinterpreted by the reader as well (1973b:15-16). The same argument can be applied to fictional works, which are reinterpretations of an author’s ideas but not necessarily their personal experiences with culture and must be held as true. If this reinterpretation of culture is understood by a reader, then culture has been reproduced in a new creative form. In this regard modern fiction writing is analogous to myth-making because the author is able to retell or recreate culture in a way that is interesting so that readers will understand. The success of *The Lord of the Rings* canon means that culture has effectively been reproduced not only from the author’s ideas, but also that his ideas are in turn successfully being understood. This is evident in the 1970s animated and the live action versions of the tale.

The intention with *The Lord of the Rings* is to treat the fiction as ethnographies in the same fashion that Geertz has defined ethnographies as writings of fiction, and thus be able to apply practical methods of historic documents as well as anthropological methods. In the appendices following this thesis, anthropological methods of historical documentation have successfully been applied to fiction to construct a timeline of events and a census to show cultural histories of the various races and individuals from *The Hobbit* and *The Lord of the Rings*. The census and timeline serve as a visual reference for the readers of the information that is presented throughout this thesis. These methods are often used for historical documentation of letters, folios, and ethnohistories to try to fully understand the chronology of historical events and understand the demographics of a specific culture. In this study, the same concept has been applied to Tolkien’s text. Although Tolkien’s works are fictional, the practical methods of constructing a timeline and census give an impression that it could be interpreted as a history.
To understand the context of this thesis, it is important to briefly discuss Tolkien’s background and his inspirations that are reflected in his works. Tolkien was born in South Africa on January 3, 1892 and was an English poet, writer, philologist, professor, and the author of the fantasy series that included *The Hobbit*, *The Lord of the Rings*, and *The Silmarillion*. At a young age, Tolkien had been enthralled with languages that were old but still used, like Welsh, Greek, and Latin. He was introduced to the original work *Sir Gawain and the Green Knight* and *Beowulf* in 1905 while attending King Edward’s School. King Edward’s School is where his love for lore and language inspired his fascination with medieval works like the Arthurian legends and *Beowulf* (Carpenter 2000:42-43). In 1922 while teaching English at the University of Leeds, he collaborated with a colleague, Eric Valentine Gordon, on translating *Sir Gawain and the Green Knight* (Carpenter 2000:112). These works were part of his cultural heritage that later influenced his profession as a philologist in Anglo-Saxon and eventually influenced his work on *The Lord of the Rings*.

Tolkien served in the British Army as a signals officer from 1914 to 1916 during World War I. Tolkien fought in the trenches at the Battle of Somme in France from July 1 to October 27, 1916 (Carpenter 2000:89-93). Tolkien described the images and experiences of trench warfare as “animal horror” because inside and outside of the trenches were littered with decaying corpses, and soldiers would go for hours and days without rest or little to no food (Carpenter 2000:91). The imagery Tolkien uses to describe the trench warfare brings to mind the imagery of Frodo’s and Sam’s journey into the Dead Marshes (Tolkien 1965:780-781). On October 27, 1916, Tolkien was struck by trench fever and he was transported to a hospital in England (Carpenter 2000:93). While on sick leave, he began work on *The Book of Lost Tales*, beginning with a story entitled “The Fall of Gondolin” (Carpenter 2000:98-101). Eventually these tales
became known as *The Silmarillion* (Carpenter 2000:98). Over the years of his life, his creative work of Middle-earth was always being reimagined and reconstructed. His fascination with languages prompted him to create the languages found in the series: Quenya, Sindarian, Westernesse, Common Speech, Dwarfish, and Black Speech. With these languages, Tolkien developed associated histories and cultural groups. This allows us to assume that Tolkien believed that there was an important relationship between language, history, and culture. From these cultures, histories, and languages came the people of Middle-earth (Carpenter 2000:97).

The first book of the series that was published was *The Hobbit*, a story for children, on September 21, 1937 (Carpenter 2000:185). The tale of the Hobbits was so popular that the publisher wanted more, prompting Tolkien to begin work on the volumes of *The Lord of the Rings*. Tolkien wanted to create a more serious tone for the series, moving away from the childish tone of *The Hobbit*. He finished *The Lord of the Rings* in the autumn of 1949, taking over 12 years to write the series. The first volume, *The Fellowship of the Ring*, was published in 1954; *The Two Towers* in 1965; and *The Return of the King* in 1966 (Carpenter 2000:211).

Throughout the time of writing and publication, Tolkien continued to perfect his work on *The Silmarillion*. Unfortunately, Tolkien never got to see *The Silmarillion* published during his lifetime. Since the publications, there have been several movies made based on the books, including an animated series in 1975 and live-action movies by Peter Jackson from 2001 to present.

Tolkien died on September 2, 1973, at the age of 81, from a chest infection (Carpenter 2000:257). After his death, Tolkien’s son, Christopher Tolkien, continued his legacy by compiling his father’s notes on Middle-earth and *The Silmarillion*, edited the series, and published several books. In doing so he named his father the author and himself as the editor.
Christopher Tolkien published *The Silmarillion*, *Unfinished Tales: Of Númenor and Middle-earth*, *The Histories of Middle-earth*, and *The Children of Húrin*. Christopher redrew the maps and edited the notes of the narration to make the tales more easily understood by the reader.

Tolkien had stated that he was like a Hobbit in everything but size (Carpenter 2000:180). He describes Hobbits as just “rustic English people, made small in size because it reflects the generally small reach of their imaginations – not the small reach of their courage or latent power” (Carpenter 2000:180). The conception of the race of Hobbits was influenced by his experience in the trenches of World War I and a reflection of how a combination of small imagination but great courage results in the survival of an individual, as seen with Bilbo (Carpenter 2000:180). *The Hobbit* was originally a child’s story and, for the enjoyment of the reader, was written without an adult tone. The tone of the narration is one of the major differences between *The Hobbit* and *The Lord of the Rings* series. Throughout *The Hobbit*, the author often speaks to the reader referring to objects and events with a sense of familiarity or how the reader should be able to guess what could come next. For example, during the game of riddles between Gollum and Bilbo, he in effect speaks to the reader saying, “I imagine you know the answer, of course, or can guess it as easy as winking, since you are sitting comfortably at home and have not the danger of being eaten to disturb your thinking” (Tolkien 1937:72). This chatty narrative style is not found in *The Lord of the Rings*, where the narration is dark, serious, and epic (Shippey 2003:146-8). The tone may be a reflection of the different personalities of the tellers. Bilbo is the storyteller of *The Hobbit* because it was his journey; and Frodo is the storyteller of *The Lord of the Rings*. Tolkien wanted *The Lord of the Rings* series to be different from *The Hobbit*; he wanted his readers to “simply get the inside story and take it as actual history” (Carpenter 2000:199). This is evident in the literary devices he uses in both works. In
The Hobbit, the narrator speaks to the audience with parenthetical observations, rhetorical questions, direct discourse to the reader, first-person commentaries by the narrator, lightheartedness in narration, and interruptions of the narrative by the narrator that reminds the reader that it is a story and could not be real. These literary devices allow the readers to realize that it is just a story by creating suspicion in what is being told to the reader. The Lord of the Rings series lacks all of these literary devices which were present in The Hobbit, thus providing the reader with a more “real” and historical interpretation towards the text. The lack of chatty style and light-hearted narration promotes Tolkien’s aspiration to fashion a mythology for England that he believed the country lacked and to present The Lord of the Rings to be interpreted to be more real than The Hobbit (Carpenter 2000:97; Shippey 2003:303). The Hobbit is an introduction and a link to events that occur in both The Silmarillion and The Lord of the Rings (Shippey 2003).

In The Road to Middle-earth, Tom Shippey provides detail on how Tolkien’s myth came to be and what influences he used to create the world of Middle-earth. Tolkien created a mythology, but needed first to create a “context in which it [his mythology] must be preserved” (Shippey 2003:304). The context he creates is the role in which the texts serve as historical documentation that preserves the tales of Middle-earth. Shippey states that Tolkien’s creativity and imagination are products of “self-reflection” (Shippey 2003:318). These “self-reflections” are unavoidable because an individual draws from the familiar to make sense of the world. In Tolkien’s case, he takes the familiar western, English culture and his experiences to create something completely new. Shippey observes that The Lord of the Rings is an inversion “of a very familiar narrative pattern” of the quest to obtain an object or person (Shippey 2003:324). The Lord of the Rings is an “anti-quest” in which the goal is to get rid of the object, in this case
the One Ring. The disposing of the object can prove to be difficult or even impossible with will-power alone. There is usually another force or event that ultimately causes the object to get lost or destroyed. The series is a reflection of how evil can be produced by an individual (human or non-human) and how the human psyche can demonstrate the success and failure of free-will and sacrifice (Shippey 2003:324). This is evident when the One Ring was destroyed by a force external to the possessor, who could not make himself destroy it: when Gollum takes the Ring from Frodo at the Cracks of Doom, and then trips and falls into the cracks, thus destroying himself and the Ring. Tolkien’s experiences in World War I and the changing of the world through World War II showed him the evils that could be produced by an individual or a group (i.e. Hitler) and is reflected in his work with the evils of Sauron and the One Ring (Shippey 2003:328-9). Shippey states that “The Lord of the Rings in particular is a war-book, also a post-war book, framed by and responding to the crisis of Western civilization, 1914-1945 (and beyond)” (Shippey 2003:329).

Tolkien wanted to have The Lord of the Rings published alongside The Silmarillion; however, his publisher thought the combined text would be too lengthy. The Silmarillion contains the history and mythology behind the creation of Middle-earth and the creation of the various cultures and people up to the time of The Hobbit and The Lord of the Rings. Tolkien began writing The Silmarillion in 1916-1917 for three reasons. The first was to create a history and origin for his languages. The second was the desire to express himself through poetry. In 1914, Tolkien declared himself a poet because of his deep love to write it. Although The Silmarillion, The Hobbit, and The Lord of the Rings are far from works of poetry, much of his earlier, unpublished, works were poetry that inspired his later narrative works, like “The Voyage of Earendel” and “The Man in the Moon Came Down Too Soon” (Carpenter 2000:82-84). There
is some poetry in the form of ballads that are present throughout the literary works. Finally, he wanted to create a mythology for England because the only epic mythology that was known was the tale of King Arthur. He stated in a letter in 1951: “I was from early days grieved by the poverty of my own beloved country: it had no stories of its own” (Tolkien 2001:xii; Shippey 2003:303-304). He felt that mythology was missing from the English that other cultures like German, Finnish, Greek, and Celtic had. Although the Arthurian stories are associated with England, he believed that the stories were “too lavish, and fantastical, incoherent and repetitive” and too involved with Christianity (Tolkien 2001:xii). To resolve this problem, he created the Middle-earth mythology to fill the void he believed was missing in English culture (Carpenter 2000:97-98; Tolkien 2001:xii).

Tolkien stated that Middle-earth is a period before our known Earth’s history: “an imaginary period of antiquity, in which the shape of the continental masses was different” (Carpenter 2000:98). The universe that he has created complements the teachings of Christianity; however, he never uses God as a name for his supreme creator. He is known as “The One” or Ilúvatar. Tolkien wanted his mythology to be unique and strange, wanted to express his own moral interpretations, and to make his stories feel as if they were true (Carpenter 2000:99-100):

He wanted the mythological and legendary stories to express his own moral view of the universe; and as a Christian he could not place this view in a cosmos without the God that he worshipped. At the same time, to set his stories ‘realistically’ in the known world, where religious beliefs were explicitly Christian, would deprive them of imaginative colour. [Carpenter 2000:99]

When he wrote The Silmarillion, Tolkien wanted “the feel, or hope, that his stories were in some sense an embodiment of a profound truth” (Carpenter 2000:99). In order to accomplish this task, he had to create the context in order for his universe to exist (Shippey 2003:304). That
context comes in the form of a historical document called *The Red Book of Westmarch*. Although the *Red Book* is completely fiction, it serves the same function as a collection of folios that describe a culture that no longer exists.

In the Prologue of *The Fellowship of the Ring*, readers are introduced to the *Red Book of Westmarch*, a collection of the historical manuscripts that recount the events of *The Hobbit* and *The Lord of the Rings*, which were ostensibly written by Bilbo Baggins and later finished by Frodo Baggins (Tolkien 1954:1). This book contained genealogies and histories of Hobbits and Bilbo's private diary of the adventure with the Dwarves to the Lonely Mountain and to Rivendell. It was later given to Frodo who recounted the history of the Fellowship and the War of the *Third Age* (Tolkien 1954:18).

Tolkien states that the original *Red Book of Westmarch* was not preserved, but copies were made. One of these copies, *Thain's Book*, was brought to Gondor by Peregrin Took (Pippin), which contains material that was lost or absent from the original work. In Gondor, the book underwent corrections to many of the names and words originally written in Elvish (Tolkien 1954:18). An expanded version of the *Thain's Book* was made and brought back to the Shire. This version contained Bilbo's “Translations from the Elvish,” and the various stories and histories of the Shire, the Last War, and the defeat of Sauron (Tolkien 1954:19).

This latest version of the *Red Book of Westmarch* contains Bilbo's journey (*The Hobbit*), Frodo's journey (*The Lord of the Rings*), a volume that provides the genealogies and histories of Middle-earth and Hobbits, and Bilbo's translations of Elven lore (*The Silmarillion*) (Tolkien 1954:17-20). Tolkien claims that Bilbo and Frodo actually wrote the original texts, and not Tolkien himself. He presents the works as if they were real history and presents himself, not as the author, but as the translator of the Middle-earth historical documents and therefore uses these
works as an ethnohistory, the study of culture through the examination of historical documents (Axtell 1979:1-13). Although these are fictional tales, they serve the same function as ethnohistories of a culture that no longer exists in the modern world. Tolkien created a world that had its own historic documents. *The Silmarillion* is an excellent example of the continuous evolution of Tolkien’s Middle-earth as it was regularly altered during the production of his writing of *The Hobbit* and *The Lord of the Rings* (Carpenter 2000).

Using these “translations” from the *Red Book of Westmarch* or *Thain’s Book* that have been provided by Tolkien, one is able to extract the cultural backgrounds, historical events, and information that are needed to reconstruct cultural histories of various races (Hobbits, Elves, Men, and Dwarves) and construct a chronology of events based upon the text. These “translations” by Tolkien are my primary sources. Methodologically I treat these “translations” as ethnographic information in order to construct a structure of Middle-earth culture.

Secondary sources include Tolkien’s *Appendices* that follow the conclusion of *The Return of the King*. These include the histories of Middle-earth, timelines of events, *Annals of the Kings and Rulers, Languages and Peoples of the Third Age*, and *Family Trees* (Tolkien 1966:1287-1412). Additionally, I will be using references from *The Silmarillion* as a secondary source, which contains the cosmology of Middle-earth as well as many of the births of the Elves who lived in Middle-earth during the *Third Age* (Elrond, Celeborn, and Galadriel) (Tolkien 1980; 2001).

Chapter One discusses the theory of structuralism, the significance of the theory to the relativity of *The Lord of the Rings*, and the concepts of myth and dual sovereignty. Dual sovereignty is a theoretical concept that defines binary, but also complementary, oppositions of power and authority that are used to create and maintain order (Needham 1980:100-103). All
arrangements of governing authority structures need to include the tropes of authority and power (Williamson 2003:4, 6, 13). Within Middle-earth, there are several power and authority relationships that include Saruman and Sauron, Sauron and Gandalf, the Ring and Frodo/Bilbo, and Gollum and the Ring. In Chapter One, I will use the work of Rodney Needham, Margaret Williamson, and Rene Guénon to define dual sovereignty within the context of *The Hobbit* and *The Lord of the Rings* using various examples to demonstrate the existence of these relationships in a fictional setting. Dual sovereignty is a theoretical framework that has been applied to several non-fictional cultures, like the Powhatan society. Applying this concept to *The Lord of the Rings* further strengthens the argument that popular fictions can be analyzed and have similar results as non-fictional societies.

Chapter Two discusses how Tolkien’s myth is analogous to Claude Lévi-Strauss’ work on the *Story of Asdiwal* (1976) with his model of myth-making. There are several archetypes that are found in Tolkien’s myth that can be cross-culturally found throughout other mythologies. The following are a few examples: the archetype of life and death; where there is good, there is an evil counterpart; self-sacrifice; linear movement from East to West that symbolizes the movement of life to death/good to evil; and the high and low planes of North and South that symbolize higher authority/heaven-like structure and a lower, subterranean/hell-like structure. The model Lévi-Strauss lays out in the *Story of Asdiwal* has five schemes: geographic, techno-economic, sociological, cosmological, and global integration (Lévi-Strauss 1976:146). This approach aims to isolate and compare the schemes to one another and discover meanings found within the myth (Lévi-Strauss 1976:146). The aim of this chapter is to marry the concepts that are presented in the first chapter to Lévi-Strauss’s model of myths. This marriage presents the
evidence that popular fictions are modern mythologies and function as mythologies in present culture.

Finally, the appendix consists of two sections: Appendix A: Timeline of Events and Appendix B: Ethnographic Census. These appendices provide cultural background information for the main cultural groups represented in the texts: Elves, Dwarves, Hobbits, and Men. The timeline and the census allow the text to be interpreted like an ethnography, an essential part of any anthropological analysis of a culture. Both also serve as reference materials to readers who are familiar or unfamiliar with the texts that are referenced throughout the thesis.

_The Lord of the Rings_ stands out from other works of fiction because of Tolkien’s ability to create intricate and multiple dimensional plots that characters encountered and responded to by not only physical action, but moral choices as well. This character development allows readers to identify with the character difficulties and choices, making the situations and character more real. Tolkien provides his work with vivid and powerful descriptions of Middle-earth from the quaint town of the Shire to the transcendent forests of Lothlórien to the wastelands of Mordor. Tolkien is a master of imagery and has put a great amount of energy, thought, and imagination into describing Middle-earth’s wonders and people. His talent for languages, storytelling, and imagination sets Tolkien apart from other authors. The goal of this thesis is to provide the reader with evidence from Tolkien’s work that anthropological theory and methods can be applied to works of fiction with similar results when compared to non-fictional cultures. The aim of this research is to demonstrate that there are a wide range of topics that can be researched within the field of popular culture and popular fiction using anthropological methods.
CHAPTER I
THEORY

Structuralism is a theoretical perspective that allows one to understand the cognitive elements that are the building blocks of culture in which culture is a form of communication and a system of meaning (Geertz 1973a:354; Leach 1976:6). A structural analysis is best suited for this research in order to comprehend the components of culture in terms of their relationship of the components to each other to understand the meaning of human actions, cognition, and perceptions. Tolkien created a world with peoples, cultures, and languages as internally consistent as any real-world culture. Structuralism will be used in the context of this research to identify the relationships between major themes and elements of Tolkien’s created culture.

This chapter is broken into two parts: the first section includes the definition of structuralism and examples of the binary oppositions that are portrayed in *The Lord of the Rings* canon. The second section defines the concept of dual sovereignty, the relationship of the binary oppositions of power and authority that is seen within the canon. The second section also discusses how dual sovereignty applies to the creation of inalienable possessions of material objects and how this concept may be applied to the series as a whole.

**Structuralism**

Claude Lévi-Strauss defines structuralism as the inquiry into the underlying patterns of thought in all forms of human activity (1963; 1966; 1979). Structuralism is a theory that states that the elements of culture (male and female, good and evil) are best understood in the terms of their relationship to each other to create meaning. Cultural meaning is produced and reproduced within culture through rituals and symbolism (Lévi-Strauss 1963). The major component of structuralism is that humans classify experiences into cultural categories: good/evil, left/right,
raw/cooked, science/myth, power/authority, male/female, etc. It is the relationship between these oppositions that is most important, in which the oppositions are organized into a structure of analogies (Lévi-Strauss 1963; 1979). Edmund Leach states, “Culture communicates; the complex interconnectedness of cultural events itself conveys information to those who participate in those events” (1976:2). Cultural meaning is communicated through a series of symbols that are reproduced within a structure. The meaning of a symbol is defined within the structure. Leach defines the theme of communication through a structural analysis of a culture in which human communication consists of “expressive actions which operate as signals, signs, and symbols” (1976:9). The meanings of signs, signals, and symbols are cultural-specific, but there are some universals that are seen cross-culturally, such as symbols of life and death, good and evil, etc. In the most basic form, signals and symbols are expressive actions that can be communicated in a type of language in the form of myths (Lévi-Strauss 1963: 208-9; 1966:18; Leach 1976:9-10).

Rodney Needham studies the elementary forms of dual symbolic classification that are present in various cultures. The study of dual symbolic classification depends upon the context in which elements are extracted (Needham 1985:21). For example, Needham observes the relationship of right/left with fire/water in which the right hand is associated with fire and the left with water (1985:17-20). In some cultures these associations can be reversed (Needham 1985:21). He observes in Indian culture that the hot luminous objects are held in the right hand and cool, dark objects in the left. He also notes the same observation in Aesop’s fables and in Greek mythology (Needham 1985:19). The symbols exist; the context in which the symbols are defined is dependent upon the culture.

In *The Lord of the Rings*, there are several archetypes: good/evil, selfishness/selflessness, light/darkness, black/white, chaos/order, war/peace, corrupting nature of power, nature of
temptation, and the weaknesses of Men. The archetypes that were listed can be compared to Christian mythology. Lévi-Strauss states in *Myth and Meaning* (1979), “in mythology the world over, we have deities or supernatural, who play the roles of intermediaries between the powers above and humanity below” (12). In the context of Christianity, God and his angels are good and pure, associated with light and white, exist on a higher plane of existence (Heaven); in opposition, Satan and his demons are dark, evil, and dwell in darkness on a lower plane of existence (Hell). In *The Lord of the Rings*, the Valar dwell in Valinor in the North upon a higher plane that is analogous to Heaven; they combat evil, and they are associated with white and goodness. The Valar are the “guardians of the world, who are not gods but angelic powers, themselves holy and subject to God [The One]; and at one terrible moment in the story they surrender their power into His hands” (Carpenter 2000:99). Gandalf takes the symbolic form of an angel after his transformation from Gandalf the Grey to Gandalf the White after the battle with the Balrog, in which he is adorned in white robes and produces white light to combat the darkness of Evil (Tolkien 1965:622-623). Melkor (who can be the symbolic representation of the Fallen Archangel, Lucifer), Sauron, and his followers dwell in Mordor in a lower plane of existence that is analogous to the Christian Hell and are associated with black, darkness, and evil.

For this analysis, myth and history must be defined. Myth is defined as a system of symbolic communication that is unique to the culture being studied and may be cross-culturally analyzed to discover universals found in almost every culture (Lévi-Strauss 1963:208-9). History is defined as a narrative to analyze a sequence of past events that are collectively shared (Bloch 1953:12, 23, 27; Howell and Prevenier 2001:1, 30). Margaret Huber argues that there is not any difference between myth and history, that myth and history are western categories that are found in other cultures (Huber 2013:79, 81). In this analysis, history and myth are regarded as
narratives that are used to define a culture’s past. To regard these two tropes as different is to give into western ideals that define myth as fantastical means of telling of accounts that are not true and history as fact. Huber states that myths “only appear marvelous to those who are not used to them” (Huber 2013:79). Tolkien wanted his work to appear as if it was a historical account, but he referred to his work as his mythology (Carpenter 2000:99, 100, 199).

Lévi-Strauss states: “the purpose of myth is to provide a logical model capable of overcoming a contradiction” (1963:229). Lévi-Strauss states that while indigenous cultures have myth and civilizations have engineering, both serve the same function to create order (1966:9-17; 1979:15-18). Lévi-Strauss discusses the dichotomy of two tropes of history/science and mythic thinking of which both are powerful methods of creating understanding, or creating order from the chaos of uncertainty (1966:11, 15, 22). The metaphor Lévi-Strauss uses to explain this dichotomy is that of the engineer and the *bricoleur*. The engineer is someone who creates a design for function, who would use materials specifically for the construction of a given design, and would then implement that design once the engineer gathered the necessary materials required for construction. The *bricoleur*, by contrast, is a “handy-man” of sorts who looks at what is available around him to create a design. This assemblage of odds and ends (*bricolage*) still results in the design having the same function as the engineer’s design (Lévi-Strauss 1966:17-22).

In a lecture at St. Andrews on March 8, 1939, Tolkien states:

What really happens is that the story-maker proves a successful ‘sub-creator.’ He makes a Secondary World which your mind can enter. Inside it, what he relates is ‘true’; it accords the laws of that world. You therefore believe it, while you [the reader], as it were, inside. The moment disbelief arises, the spell is broken; the magic, or rather art, has failed. You are then out in the Primary World again, looking at the little abortive Secondary World from outside…Every writer making a Secondary World wishes in some measure to be a real maker, or hopes that he is drawing on reality: hopes that the peculiar
quality of this secondary world (if not all the details) are derived from Reality, or are flowing into it. [[Tolkien:1939] Carpenter 2000:194-5]

Tolkien is a *bricoleur* employing mythic thinking to create Middle-earth by using his knowledge of the world around him (culture, religion, and history) to build a structure that exhibits the same purpose and function as the non-fictional Earth that is experienced by the readers. Middle-earth is a *bricolage* of cultural groups of people (Elves, Dwarves, Men, Orcs, etc.) and languages that Tolkien creates from his imagination, but is influenced by his vast knowledge of ancient and modern languages and the relationships between the cultural groups he used (Finnish, German, English, Norwegian, and Welsh) (Carpenter 2000:62,63,101,102).

Oppositions in this research imply a relationship in which each is defined in terms of the other (Lévi-Strauss 1963:35). Conceptually binary oppositional pairs are opposites because each is what the other is not (e.g. in reference to the positioning of buildings, building A faces south and building B faces north) but each is also what the other needs in order to have any effect (the buildings create and define a public space together) (Needham 1978:25-29).

The major oppositional categories of Middle-earth culture include magic/non-magic, good/evil, gravitas/celeritas (order/chaos), life/death, male/female, up/down, and power/authority (dual sovereignty). These are only a select few of the oppositions that are present throughout the series; however, these categories best represent the series as a whole which can be seen universally in other cultures. Although these categories are oppositional, they are also complementary in that a term generates meaning and value in a reciprocal relationship with the opposing term. The meaning of the category is derived from its context within the culture.

*Good/ Evil*

One of the more obvious oppositional pairings of the series is good and evil. Within the context of the text, Tolkien makes a clear distinction that there are two groups: those who are
good (Gandalf, the Fellowship, the Elves) and those who are evil (Sauron, Orcs, Smaug). These tropes are very distinct in the fact that they represent two sides of the playing field in which one will triumph over the other. As with any binary, the relationship between the two tropes is important. In the context of Tolkien’s work, good and evil are two very distinct oppositional forces.

In the universe of Middle-earth, the good characters are good meaning that they exemplify loyalty, faith, generosity, bravery, and selflessness. In contrast, the bad characters exemplify evil meaning that they are unfaithful, depraved, corrupt, and wicked. The following pairings represent the most commonly seen oppositions of good and evil: Fellowship versus Sauron, Fellowship versus Orcs, Gandalf versus Saruman, Gandalf versus Sauron, Dwarves versus Smaug, and Aragorn versus Sauron. The characters represent the good and evil entities that create the flow of the narrative in which these categories are created depending on the place and time within the structure of the narrative. One entity cannot exist without the other; this relationship is a balancing act between the two entities which allows the structure of the narrative to exist.

Frodo states that evil can only create things that mock the good: “the Shadow [Melkor] that bred them can only mock, it cannot make, not real new things of its own” (Tolkien 1966:1138). For example, the Orcs that were bred by Melkor are an inverse of the Elves who were created by the Supreme Being, Ilúvatar. Produced from captured Elves, “Melkor bred the hideous race of Orcs in envy and mockery of the Elves…For the Orcs had life and multiplied after the manner of the Children of Ilúvatar [Elves and Men]” (Tolkien 2001:50). In every way the Orcs are the opposition because they live in darkness, eat foul food, drink foul water, are mortal beings, and are evil; whereas the Elves are pure, live in the light, are connected with
nature, and are good. In comparison, the Dwarves were created by the Valar, Aulë, before the awakening of the Elves (Tolkien 2001:43). Aulë wanted followers so that he could teach his lore and craft and was unwilling to wait for the Children of Ilúvatar (Tolkien 2001:43-44). However, he did not know the designs of the Children of Ilúvatar and so he designed the Dwarves in his image in secret¹ (Tolkien 2001:44). Dwarves are “stone-hard, stubborn, fast in friendship and in enmity, and they suffer toil and hunger and hurt of body more hardily than all other speaking peoples; and they live long, far beyond the span of Men, yet not forever” (Tolkien 2001:44).

Dwarves are not the inverse of Elves like the Orcs because Dwarves were not made out of mockery of their image; rather they sit in a liminal position between the two categories. Dwarves are good and bad depending on the situation. Orcs are enemies of the Dwarves, as seen in various battles: the First Battle of Beleriand (Tolkien 2001:93), the Battle of the Five Armies (Tolkien 1937:256), and War of the Ring (Tolkien 1954, 1965, 1966). In these battles, Dwarves fought alongside Elves to defeat Orcs. In the First Age, Elves and Dwarves worked together to create weapons and traded; however, this ended when the Dwarves killed the Elven King Thingol and stole Nauglamír, the Necklace of the Dwarves, which was commissioned by Thingol and created by the Dwarves (Tolkien 2001:232-233). This event ignited the feud between Elves and Dwarves that would continue into the Third Age. Dwarves were created with a different purpose than Melkor’s Orcs. Aulë wanted people to whom he could teach his skills, not to mock the image of Ilúvatar.

Gravitas/Celeritas

Throughout the series, Middle-earth is slowly moving into a state of chaos because of the rise of Sauron, even if it is not evident to some of the Hobbits, who are not aware of what is

¹ Ilúvatar was aware of Aulë’s plan but he did not want the Dwarves on Arda before the awakening of the Elves. The Dwarves were put to sleep under the stone of the Earth until the arrival of the Firstborn, the Elves (Tolkien 2001:44).
happening outside of their borders. Unlike the categories good and evil, chaos and order are represented more as a transition from one state to another. In the history of Middle-earth, as each period began (First, Second, and Third Age), Middle-earth was in a state of peace, gravitas, and slowly transformed into a state of celeritas by evil forces until order was reestablished by the forces of good defeating the evil forces in a great battle. The installment of order marked the beginning of the next age (Tolkien 2001:91,259,285).

Georges Dumézil’s concept of celeritas (chaos) and gravitas (order) can be applied to the world of Middle-earth. In Dumézil's *Mitra-Varuna* (1988), celeritas is chaos and the energy to create, while gravitas is the order necessary to maintain balance between the two entities (40). Neither can exist without the other because celeritas is too wild to continue for an extended amount of time in the world and gravitas would eventually burn itself out unless it was reestablished somehow. Dumézil relates this to the Roman kings, Romulus (celeritas) and Numa (gravitas). Romulus was wild, killed his brother, engineered in the rape of the Sabine women, and did not establish any laws in Rome (1988:47-52). His successor, Numa, is credited with bringing reason and order to Rome by introducing the systems of laws and religion that made Rome into a civilization (Dumézil 1988:48). Romulus was the celeritas that created Roman rule and Numa was the gravitas that brought control and maintained Roman rule (Dumézil 1988:40). Celeritas has the ability to create while gravitas can only maintain until another celeritas event occurs and the balancing act to reestablish and maintain order (Dumézil 1988:40).

The reader is introduced to Middle-earth during a time of order and peace, but the tides are turned when Gandalf discovers the truth of the One Ring and the chaos that is rising from the land of Mordor. The forces of Mordor and Sauron represent the chaotic creativity of celeritas. The cloud of chaos slowly begins to stretch across Middle-earth and the adventure begins. For
the remainder of the narration, the world is in a form of chaos. Order is not reinstated until the
One Ring is cast into the fires of Mount Doom, Sauron is destroyed, the Shire is cleansed, and
Aragorn sits at the throne of Gondor. The return of the King of Gondor represents a new chapter
in Middle-earth and ushers in a new era of peace after ages of war with Mordor. *The Hobbit*
narration has the same structure as the narration of *The Lord of the Rings*. The world appears to
be in a state of gravitas until Gandalf arrives, recruits Bilbo on an adventure to help the Dwarves
get their mountain back, and the reader discovers that the world of gravitas moves towards a
state of celeritas. Even though at the end of the narration Bilbo returns, it would be assumed that
gravitas would be reinstated. However, it becomes known in *The Fellowship of the Ring*, that the
Necromancer (Sauron) was present, in addition to Smaug, during the narration of *The Hobbit*.
This flows into the narration of *The Lord of the Rings* and order does not become reestablished
until the final destruction of Sauron and the King is returned to the throne. Gandalf is the event
that disrupts the structural order by showing up in Hobbiton, announcing that there is an evil in
the world rising in the form of a dragon or the One Ring, and recruits Bilbo and Frodo for
adventures to aid in the restoration of order from the shadows of chaos projected onto the world.

Celeritas is not always associated with evil within the series. Tom Bombadil is an
element of good celeritas. Although his role in *The Lord of Rings* is brief, he saves the Hobbits
twice in the Old Forest: from a tree trunk and from the Barrow-wights (Tolkien 1954:145-185).
Bombadil is described as an old man with a blue coat, long brown beard, and yellow boots who
is older than the time of Men, the first Elves, and before Morgoth came to Middle-earth (Tolkien
1954:149-163). He is not affected by the powers of One Ring in that he does not disappear when
he puts it on, the Ring seems to grow larger in his hand, and Bombadil could see Frodo while
Frodo was wearing the Ring (Tolkien 1954:165-166). Gandalf states: “the Ring has no power
over him. He is his own master. But he cannot alter the Ring itself, nor break its power over others” and he stays within the boundaries that he has set for himself in the Old Forest (Tolkien 1954:329). At the Council of Elrond, there was a suggestion for the One Ring to be placed in Bombadil’s possession to be safe. However, Gandalf states that “if he were given the Ring, he would soon forget it, or most likely throw it away. Such things have no hold on his mind” (Tolkien 1954:329). Tolkien stated that Bombadil is a symbolic representation of “the spirit of the (vanishing) Oxford and Berkshire countryside” (Carpenter 2000:165). His wife, Goldberry, states that Bombadil is the “Master of the wood, water, and hill” (Tolkien 1954:155). Within the context of *The Lord of the Rings*, Bombadil is the symbolic representation of the countryside as it exists in time. As an example of celeritas, his role is to be a reminder that change is happening across Middle-earth.

Pairing celeritas with evil and gravitas with good is an easy observation. However, one can argue that gravitas can be paired with evil and celeritas with good. If the perspective should be viewed from Sauron’s, Saurman’s, and Melkor’s point of view of Middle-earth, they would see that the world is in a chaotic state that they believed needed to be reordered. While their actions would seem evil in the eyes of the Fellowship or the Council of Elrond, to Sauron and Saruman they would believe that what they were doing was not evil, but a way of creating order from a disorderly world.

*Magic/Non-magic*

Magic is evident throughout the series and the degree to which magic is used and who possesses magic depends on the race and individual character. The term magic is used by all other races except for Elves who do not know the term and are confused by the use of the word to describe the operations of the Enemy and of the Elves (Tolkien 1954:448-449; 2001:xiii).
Throughout the narration of Tolkien’s works, Elves do not use the term magic, nor do they ever describe any entity having magical properties. This term is used by those races that do not use magic, use it rarely, or use the term magic as a mythical thought process to understand the unexplainable. Although magic is not an essential part of the narrative, some of the characters do have the ability to produce magic and magic is conceptualized by many characters as a means of explaining actions that they themselves cannot explain. Tolkien states that the Elvish “‘magic’ is Art, delivered from many of its human limitations: more effortless, more quick, more complete (product, and vision in unflawed correspondence). And its object is Art not Power, sub-creation not domination, and tyrannous re-forming of Creation” (Tolkien 2001:xiii).

In the context of The Lord of the Rings, magic is an innate ability and knowledge that is wielded by a select few, such as Gandalf, Saruman, Grima Wormtongue, and Radagast. Although Tolkien defines magic as an art for Elves, to other characters magic is defined as a power. However, it should be noted that even though they can produce and wield magic, it would seem that the actual focusing of magic is done through a material object, a staff. The innate ability is there, but the power must be controlled and channeled by an object.

Tolkien does state in the prologue of The Fellowship of the Ring that Hobbits have the perceived ability to produce magic by Men because they have the skills of disappearing and being swift in order to not be seen (Tolkien 1954:2). It is not evident that Hobbits produce magic in the narrative, only in the instances when the One Ring is being used, such as with Bilbo and Frodo becoming invisible to the mortal eye. However, this ability is the power of the Ring itself, not the individual who is wearing it. Bilbo and Frodo may possess some sort of power, be it magic or the power of will, which enables them to withstand the corrupting power of the Ring for an extended amount of time. It is evident that Gollum, who was a Hobbit (Tolkien 1954:68),
does not have that ability because he was quickly corrupted by the power of the One Ring and transformed into an evil creature. Men also do not have the innate ability to produce magic; only those who practice witchcraft or sorcery may wield and use magic, such as Wormtongue who bewitched Théoden (Tolkien 1965:638).

It is important to note that magic is heavily evident in the beginning of the series and trickles out of existence by the end of The Return of the King. This corresponds with the fading of the Elves and the rise of the age of Men in Middle-earth at the end of Third Age. Examples of this include Gandalf using more physical fighting abilities than the wielding of magic in battle, Sauron using army forces to fight in the battles of Helm’s Deep and the final battle before the fall of Mordor, and Saruman creating machinery and the advanced breed of super-soldier Orcs, the Uruk-hai.

Saruman’s machinery and transformation of Isengard and the Shire into industries are the direct opposition of magic. In Isengard, Saruman cut down trees and replaced them with machinery and stone, dammed the river, and defiled the valley to breed the Uruk-hai and house Orcs, Men, and Wolves to build his army (Tolkien 1965:586-587). He began the same process in the Shire and enslaved the Hobbits (Tolkien 1966:1244-1262). It is during this time when he is building his army and transforming the lands that he transitions from magic to machinery. Saruman does not focus or produce magic because he is using machinery for his purposes. Gandalf destroys Saruman’s staff, symbolizing Saruman’s defeat and his inability to focus magic after this point (Tolkien 1965:725).

Life/Death

Tolkien portrays life and death in the most basic way through his oppositional pairing of black and white. Not only are his characters categorically placed within these groups, he has
characters that transform from one group to the other. For example, in the battle against the Balrog, Gandalf is categorically opposite of the Balrog. The Balrog had a blade of fire, was black and shadowy, and evil; Gandalf had a staff that released white flames, was good, and emitted light (Tolkien 1965, 407). When their battle concludes in the far depths of Moria, Gandalf defeats the Balrog and his physical form symbolically died. His body goes through a symbolic death and reemerges into life, naked, as if being born again and coming back into the world. He transforms from being Gandalf the Grey to Gandalf the White, stating that he was what Saruman should have been (Tolkien 1965:614). Symbolically Gandalf represents the transformation from death to life and becomes a new entity in the process. Although he is physically the same person, Gandalf becomes a higher being within Middle-earth as the direct opposition to Sauron. Gandalf states that he was brought back “for a brief time, until my [his] task is done” (Tolkien 1965:623). It can be assumed by his statement that he was brought back by a higher power and his task was to see to the defeat of Sauron. Being “White” means that he is of the highest order of the Wizards because Saruman failed to fulfill that role (Tolkien 1965:613-614).

The structure of The Lord of the Rings is that all roads will lead to an eventual death, physical or symbolic. The Ring must be destroyed to ultimately defeat Sauron; Frodo knows that he will die trying to destroy the Ring; all those who have possessed the Ring will die or fade away; Gandalf’s death; Saruman’s death; the fading of the Elves which symbolically means the death of the Elves in existence upon Middle-earth; and the dead tree in the center of the citadel in Gondor that represents the end of time. Although there are many motifs of death, there are equally those that represent life. This relationship of life and death is one of transformation. Gandalf is transformed from death back to life, but symbolically at the end of the series the world transforms from the path of death to a rebirth (Tolkien 1965:623). The tree in the center of
the citadel is replaced by another (Tolkien 1966:1212); the return of the King to the throne of Gondor (Tolkien 1966:1206); Bag-end and the Shire being restored from Saruman’s evil doing (Tolkien 1966:1277); and even the passing of the Elves, Frodo, Bilbo, and Gandalf into the Grey Haven symbolizes the emerging new chapter of life in Middle-earth (Tolkien 1966:1283-5).

**Male/Female**

*The Lord of the Rings* is predominantly a male dominated story in which a majority of his characters are male and the males drive the action of the narrative. However, Tolkien does balance out the gender of male and female by pairing males with female counterparts and associating gender roles. Throughout the tale, the male gender role is evident; males are the celeritas because they carry out the action throughout the narration, fight, and give orders. Females in contrast are gravitas because they are solitary, do not fight, they are the ones who listen to their male counterparts, and give advice when needed.

In *The Silmarillion*, the female category is represented more in the creation myth than it is in *The Lord of the Rings*. In *The Silmarillion* there are 14 Valar, seven Lords, and seven Queens, who come to Middle-earth after the creation of the world to combat the evils of Melkor (Tolkien 2001:25-31). These 14 individuals are god-like individuals, who contribute to the design of the Earth. The Valar, Yavanna, create two trees known as the Two Trees of Valinor, that represent the beginning of time and brought light to the world: Telperion (male, tree of silver, and located North) and Laurelin (female, tree of light, and located South) (Tolkien 2001:38). When Melkor destroys the trees, the last flower of Telperion transforms into the male Moon and the last fruit of Laurelin transforms into the female Sun. The Valar assigns a male, Tilion, and female, Arien, lesser spirits, called Maria, to the male Moon and the female Sun. Their task is to guide the Moon and Sun across the sky each day and night (Tolkien 2001:99-
The Sun is female as referenced in *The Lord of the Rings* as “she” and the Moon as “he” (Tolkien 1954:410).

Galadriel, Arwen, Éowyn, and Goldberry represent the female counterpart of the males as wives: Galadriel/Celeborn, Arwen/Aragorn, Éowyn/Faramir, Goldberry/Tom Bombadil. They also represent life, beauty, givers, strength, and light. Galadriel provides Frodo light to battle darkness (Tolkien 1955:468); Arwen gives Frodo the choice to take her place on the boat to the Grey Havens (Tolkien 1966:1215); and Éowyn defies her female role and defeats the Witch-King in the Battle of the Pelennor Fields (Tolkien 1966:1047). However, after the defeat of Sauron, Éowyn states that she is no longer a shieldmaiden (Tolkien 1966:1047, 1203). Defying her female role in order to fight in the Battle of the Pelennor Field and dress like a man, she becomes gendered male because she fulfills the male gender role that Tolkien structures (Tolkien 1966:976). The male gender role is reinstated when the Witch-King states “No living man may hinder me!” and Éowyn answers back “But no living man am I! You look upon a woman” (Tolkien 1966:1048). When she is no longer a shieldmaiden, she becomes gendered female (Tolkien 1966:1203). It is also known that Galadriel plays a crucial role in the guidance of Frodo and she is the equivalent to the guidance provided to him by Gandalf. Galadriel and Gandalf are categorically opposed as female and male, but they complement the other in their efforts to keep peace within Middle-earth, refusal to accept the One Ring from Frodo, guide and protect Frodo, and battle the Enemy. They oppose one another in that Gandalf ages while Galadriel is not, he wanders Middle-earth while she does not, he gets involved in the troubles of Middle-earth while Galadriel stays in isolation, and Gandalf transforms while Galadriel remains unchanged. Finally, Bombadil’s Elven wife, Goldberry, represents the female nature and life to Bombadil’s representation of the fading countryside (Tolkien 1954:152).
In the series, there are not many references to female counterparts in races other than those who were previously mentioned. A reference is made by the Ent, Treebeard, about the lore of the female Ents, Entmaidens (Tolkien 1965:589-92). According to Treebeard’s tale, the Ent males lost the Entmaidens and cannot remember how or why they were lost. Entmaidens wanted order and peace, had no desire to speak but would hear and obey nature and other trees, made gardens, saw greater detail in things, gave thought to lesser trees, and ordered the trees to go the way the trees wanted to (Tolkien 1965:590). Ent males were wanderers, loved the wild woods, learned speech from the Elves and spoke, and loved great trees. These characteristics are opposing traits, each completes the other. The mention of Entmaidens seems to be Tolkien’s attempt to demonstrate that there is a male and female representation within each good race.

In the *Annals of the Kings and Rulers* there is mention of one female Dwarf, Dís, the daughter of Thráin II (Tolkien 1966:1342):

> It is said by Gimli that there are few Dwarf-women, probably no more than a third of the whole people. They seldom walk abroad except at great need. They are in voice and appearance, and in garb if they must go on a journey, so like to Dwarf-men that the eyes and ears of other peoples cannot tell them apart. This has given rise to the foolish opinion among Men that there are no Dwarf-women. [Tolkien 1966:1342]

In the context of the narrative, female is gravitas and male is celeritas. The feminine is fixed and stable. In contrast, the masculine is wandering, liable, and changing.

There is not any mention of evil female counterparts for Orcs, Balrogs, or Goblins. There are two evil female creatures mentioned, Shelob and Ungoliant, the Great Spiders. Ungoliant is an ally of Melkor, who hates light but also craves it. Ungoliant devours the light from the Two Trees of Valinor (Tolkien 2001:73-77). Shelob captures Melkor in her web of darkness when he refuses to give her the Silmarils, gems that were crafted by Fëanor in the likeness of the Two Trees of Valinor, to quench her hunger for light (Tolkien 2001:80). When the Balrogs hear
Morgoth’s screams, they arise from the depths of the earth and free him. Burnt by the whips of the Balrogs, Ungoliant fled to Nan Dungortheb where she spends the rest of her life and breeds with the Great Spiders there (Tolkien 2001:81, 121). Shelob is the daughter and last surviving offspring of Ungoliant who dwells in Ephel Duath in Mordor (Tolkien 1965:900). Gollum uses Shelob to try to kill Frodo and Sam so that he can take the One Ring for himself (Tolkien 1966:900-901). After capturing and binding Frodo, Sam attacks Shelob, forcing her to retreat back into her cave. What became of her after that point is unknown (Tolkien 1965:905-909). In this comparison of the feminine and masculine, Ungoliant and Shelob are gravitas in that they complement the celeritas of Melkor and Gollum. Both Melkor and Gollum seek their help to gain what they want, the Light and the One Ring. Both have to travel to the Great Spiders and both are liable for the consequences of the female actions. Melkor was captured for refusing Ungolian’s request and Gollum’s plan was unveiled when Shelob failed to kill Frodo and Sam (Tolkien 1965:904-905).

**Dual Sovereignty**

There is an evil power emerging from the East, and chaos encroaches on the good forces of the West. Lingering in the East, this power builds up its forces, threatening the authority of good that has kept the evil at bay for years. There are three instances I will discuss about three characters, each of who tried to wield both power and authority, ultimately resulting in chaos and defeat. It is essential to stress that dual sovereignty is fluid and situational. Once an object or individual is labeled with possessing power or authority, the object does not necessarily stay in that category permanently. Power and authority are relational and situational. What is defined as power and what is defined as authority in a given situation will not hold true if the situation were to change.
Dual sovereignty is defined as the complementary relationship of power and authority which constitute the two aspects of governance (Needham 1980:70). Both authority and power are needed to form sovereignty (Williamson 2003:3-9). Authority needs power to get things done while power needs authority to give it direction (Williamson 2003:13-15). Margaret Williamson defines power in *Powhatan Lords of Life and Death* as “efficacy,” the ability to produce desired outcomes (2003:9). She works from Rodney Needham’s point of view that dual sovereignty has “a world-wide distribution among institutions-government and others-of numerous kinds” (Needham 1980:65). The definitions of power and authority that are provided by Williamson, Needham, and Rene Guénon are the same definitions that are applied to *The Lord of the Rings*.

Williamson argues that power requires the correct approval outside of itself, the authority (2003). The definitions of power and authority that Williamson has outlined in her work on the Powhatan Lords were influenced by Needham’s terms of power and authority in the context of dual sovereignty. Power can be defined as “efficacy,” the ability to produce certain results (Williamson 2003:14). Williamson states that “authority has the right to say what shall be done but cannot do it; power has the ability, but no independent right, to act and execute what is authorized” (Williamson 2003:14). This relationship is reciprocal in that power and authority are equal and reliant upon the other. An individual can be both powerful and a legitimate authority; however, the legitimacy is dependent upon how many followers an individual has. If power is coercive and authority can be legitimized through the following of lesser status individuals, we must assume that hierarchies are established between these two statuses. An authority depends on lesser ranks for efficacy. If one does not have the masses following, one loses the authority and potential power of ruling.
Guénon’s work deals more directly with authority and power than Needham’s, but both discuss them in spiritual and temporal terms (Guénon 1929; Needham 1980). Guénon and Needham equate the spiritual to authority and the temporal to power, suggesting that authority tends to be religious or mystical in a given society and power lies with the head of the state (Guénon 1929; Needham 1980). Within the Christian context of the Holy Roman Empire, the King is seen as the power which holds control over the military and other state functions, but he is granted the legitimacy to wear that crown from the Pope who is the spiritual authority (Guénon 1929; Needham 1980). The Pope has the means to state what is right or wrong within the context of the culture, while the King has the power to enforce those laws that have been set forth by the Pope. The Pope advises the King with his authority, while the King can enforce the authority of the Pope or refuse to. Needham (1980) stresses that authority can tell individuals what to do, but cannot enforce those demands. Power has to come in and complete the job that authority fails to accomplish. To Needham and Guénon, power and authority are two separate entities that must exist and work together to create and maintain order (Guénon 1929; Needham 1980). In many societies, there is a separation of authority and power into institutions, such as the temporal power of an emperor or king and spiritual authority of the church. One individual may have both attributes, but he or she has to maintain balance to sustain order. If power and authority are not balanced, the individual is thrown into a chaotic situation that results in self-destruction or loss of control of the masses. Saruman is an example of how one individual must maintain equilibrium of authority and power: “First Saruman was shown that the power of his voice was waning. He cannot be both tyrant [authority] and counsellor [power]” (Tolkien 1965: 726). In this scheme, being a counsellor means power because he uses his “voice” to persuade and influence others in order to accomplish his own plans. Tyrant in this scheme is the authority because of his attempt
to rule over others; however, he is only looking after his own personal agenda rather than the
good of the people of Middle-earth. Saruman’s plan was to use Sauron’s army to his advantage
to find the One Ring and keep it for himself and to use the power of the Ring to rule over
Middle-earth. As a consequence, his plan for order ultimately turns into chaos and results in his
overthrow by Gandalf and the end of his authority and power.

The use of knowledge and language further establishes a hierarchical relationship among
the groups of characters. Elves are hierarchically placed as absolute guardians of knowledge, are
morally superior, and are wiser because of their infinite knowledge of various languages and the
cultural histories of all the races within Middle-earth: a result of their immortality. Tolkien
establishes the Elves’ superiority without question by having all the races accept it. The same can
be said with Gandalf and Saruman in relation to Men and Hobbits. Certain languages correlate
with races that are held in lower esteem, such as the Dwarves. However, this use and creation of
languages reflects Tolkien’s perspective of one language being better than others. This is evident
in the use of Finnish as the basis of the Elvish language because Tolkien believed that Finnish
was beautiful and the flow of language was whimsical, as opposed to the harsh sounding

Magic and Power

Within the narrative, there are magic-users who occupy the same structural space as do
priests in the standard formulation of dual sovereignty. That is, they are categorically opposed to
the kings. Magic is a form of power within various beings, such as the Elves and the Wizards.
Tolkien seems to be portraying dual sovereignty as a collaboration of authority and power.

In Witchcraft, Oracles, and Magic among the Azande, E.E. Evans-Pritchard defines
magic as an innate ability of an individual which may be used for good and bad purposes. The
term magic is closely associated with good, healing, and nature; while witchcraft and sorcery are associated with bad, evil, and injury. With good magic, the producer uses nature and the world around them to create medicine for producing healing spells. Magic is essentially part of the natural order of the world. In contrast, witchcraft and sorcery are produced to create harm for another individual and are usually channeled through an object (Evans-Pritchard 1976:1-4). Tolkien uses the word “magic” to show how the term is applied in various cultures or races, except the Elves, to explain strange phenomena. To the Elves, the term “magic” is not a concept they understand: “‘Are these magic cloaks?’ asked Pippin, looking at them with wonder. ‘I do not know what you mean by that,’ answered the leader of the Elves” (Tolkien 1954:460). Magic as the Elves know it is an innate ability to help heal with the help of natural sources, such as herbs. To Men, Hobbits, and Dwarves, magic explains the otherwise unexplainable. Galadriel states to Sam that she has heard the term “magic” but does not understand it because it is used by the other races interchangeably with the evil deeds of Sauron (Tolkien 1954:449). The use of the word is evident when Boromir calls Galadriel a witch for being capable of speaking to them telepathically (Tolkien 1954:444). Sam uses the word “magic” to describe Galadriel’s Mirror and phial (the Light of Eärendil’s Star), and the power of the Ring is described as magic by Bilbo and Frodo. Comparatively, Tolkien describes Elf magic as an Art, not a power (2000:xiii).

Just as Evans-Pritchard uses the terms witchcraft and sorcery to describe evil deeds or bad magic, Tolkien also associates these terms with evil characters like Sauron (Necromancer) and the Witch King (Tolkien 1954:310; 1966:1018; 2001:292, 300). Each one of these evil characters produces witchcraft through a wielded object: staff, knife, mace, or the One Ring. Each object possesses its own magic and once it is wielded by a being with magical powers, it is capable of producing powerful magic.
As a Wizard, Gandalf has the ability to wield magic through his staff. Magic must be wielded through an object like Galadriel’s mirror, a staff, and the One Ring. The magic in the One Ring allows the wielder to become invisible when worn and extends one’s lifespan, the effects of which happen immediately. However, this power does come at a price. The Ring will eventually consume the will of the wearer to be at the mercy of the Ring’s will. Galadriel explains to Frodo and Sam that the Rings of Power reflect and grow in power according to the measure of the possessor. Frodo, for example, since wearing the Ring, has the power of sight to perceive what others are thinking (Tolkien 1954:454). In order to control and use this power, one must be stronger than the will of the object. Both Gandalf and Galadriel know that they cannot possess both the power of the Ring and the authority of goodness without falling into evil and becoming like Sauron. Because they resisted the temptation of the Ring (passed a “test”), they were granted knowledge of what would become of them (Tolkien 1954:76-77, 454).

As magic begins to fade out of Middle-earth with the leaving of the Elves, magic is replaced by machinery. This replacement signifies the transformation of romantic simplicity of life to an industrial period of development. This fading of magic is closely marked with the transition of the leaving of the Elves and the rising age of Man. Tolkien relates magic to machinery stating that “the machine is our more obvious modern form [of magic] though more closely related to magic than usually recognized” (2001:xiii). This comparison of magic to machinery is similar to the opposition of mythic thought and scientific thought that is presented in Lévi-Strauss’s Savage Mind (1966). According to Lévi-Strauss, myth and science are methods of explaining phenomena of the world (1966:11). The major difference is the process through which one gets to the “truth.” The introduction of advanced machinery to a culture that has had no previous experience with machines would be both mystical and devastating. Sauron and
Saruman use machines in an attempt to replace magic and try to gain authority over Middle-earth through war. Both magic and machinery are very powerful entities to those who control them.

*The One Ring and Inalienable Possessions*

Magic is a powerful and directionless force that must have an object to channel and direct the power. There are several objects in particular in the series that allow the control of power. These inalienable possessions include the following: the Rings of Power, a Wizard's staff, the sword Narsil (the sword that Isildur used to cut the Ring off of Sauron’s hand), and the One Ring. In *Inalienable Possessions* (1992), Annette Weiner defines inalienable possessions as objects that have obtained an exclusive identity through a series of owners through time with a history that has been established through origin myths, genealogies, sacred authority, and power that has transcended through time and space beyond the years of the original owner (1992:6, 11, 37). The object’s authority and power still remain as part of its identity: “The possession not only authenticates the authority of its owner, but affects all other transactions even if it is not being exchanged” (Weiner 1992:10). These objects may be passed through generations as physical exchange or cognitive exchange, such as through oral traditions, stories, and legends. These objects contribute to the establishment of a hierarchy because the individual who owns the object possesses the authority to wield the object (Weiner 1992:39). The object itself has the power and authority to establish hierarchy with a population. The One Ring is the source of power entrusted to Frodo, who was then charged with the task of destroying the Ring (Tolkien 1954:335). With this position, Frodo made many of the group choices and the final decisions that needed to be made for the task to be fulfilled (Tolkien 1954:492). Although Frodo did not hold an authoritative position, as would Aragorn or Gandalf as leaders of the Fellowship, the Ring
bestowed a position of higher status on Frodo as the Ring-bearer by the Council of Elrond and he held the power over what happened to the Ring (Tolkien 1954:335, 341, 492).

A Wizard’s staff does not transcend through generations; however, it is a symbolic identity that is very powerful in other characters’ perspectives. The staff allows a Wizard to channel the raw power of magic into a directional force and is a part of the individual’s identity. The loss of the staff is a loss of identity and of authority, as demonstrated in The Two Towers when Gandalf disarmed and broke Saruman’s staff, rendering him defenseless and weak, with a loss of authority and identity as a Wizard (Tolkien 1965:724-5). Another staff makes an appearance that also associates an identity of control over an individual and once broken, another identity takes the place of the former. Théoden was enchanted under Wormtongue’s spell by a black staff, which Gandalf broke to release Wormtongue’s hold on Théoden (Tolkien 1965:638-639). Under this enchantment, Théoden’s appearance changed: “a man so bent with age that he seemed almost a dwarf; but his white hair was long and thick and fell in great braids from beneath a thin golden circlet set upon his brow” (Tolkien 1965:636). “From the king’s hand the black staff fell clattering on the stone” and Théoden returned to his former self (Tolkien 1965:640). With the loss of the staff, Wormtongue lost his power and identity as a council to Théoden.

The Elves forge the Rings of Power with the help of Sauron at the end of the First Age and the beginning of the Second Age (Tolkien 2001:287-9). Nine of these rings are given to the most powerful Men (kings and sorcerers) and became the Nazgûl, which allowed them to be become invisible to mortal eyes; seven were given to the Dwarf-lords, which they used to increase their wealth; and three were kept by the Elves (Tolkien 2001:287-9). The three Elven rings each possessed a name and a power of their own in contrast to those given to Men and
Dwarves. The names and wearers of the rings were: Narya, the Ring of Fire, which was given to Cirdan, who later gave the ring to Gandalf when he recognized Gandalf as a messenger of the Valar and gave him the ring to aid him in his journey; Nenya, the Ring of Water, which was given to Galadriel by Celebrimbor, the creator of the Ring of Power; and Vilya, the Ring of Air, which was given to Elrond by Gil-galad, King of the Noldor Elves (Tolkien 1980:237, 238, 239, 251; 2001:288, 304). Symbolically the names represent the social bond between the exchanger and the object. This bond is the social identity instilling power and authority upon the object that transcends time and generations. Weiner states that “words and objects are not always mutually exclusive, for objects may have oral histories transmitted with their ownership and myths may be related to their ownership…giving material authenticity to words” (Weiner 1992:37). In this way the names given to the Rings are the words associated with the material objects, and this association extends authority to both the objects and the words representing that particular object. However, the three Elven rings are put into hiding by the wearers to evade Sauron’s plan to control all the Rings of Power (Tolkien 2001:288). These three rings possess the greatest powers, Air, Fire, and Water. Sauron wants these three the most because “those who had them in their keeping could ward off the decays of time and postpone the weariness of the world” (Tolkien 2001:288). Symbolically these three rings are recognized as three of the four classical elements: air, water, fire, and earth. Although Tolkien does not represent earth as a ring, we can assume that earth contributes to the construction of the rings because each ring was forged on Earth and was set with a gem: ruby, adamant, and sapphire (Tolkien 2001:288). The use of the four classic elements is an example of how Tolkien uses bricolage to combine ancient world lore with his mythology.
In addition to the Rings of Power, there is the One Ring forged in secret by Sauron in the fires of Mount Doom. Sauron puts most of his power into the ring, giving the ring the power to rule over and control the wearers of the other Rings of Power. By wearing the One Ring, Sauron is able to seek out where the rings are and who wears them, see or read the thoughts of the wearer, and dominate the will of the other wearers of the rings (Tolkien 1954: 63-4). When Sauron loses the One Ring as Isildur cuts off his hand, not only does he lose his physical form, but the ring retains the power that was implanted in it (Tolkien 2001:301). These generations are the wearers of the Ring, but do not necessarily have a kinship relationship until Bilbo gives Frodo the Ring (Tolkien 1954:40-43). The Ring has the ability or power to contract and expand on the wearer’s finger; bestowing its own agency to the characters when it is stated that the One Ring is trying to get back to its master and wants to be found; the ability, when adorned, to see the Nazgûl for who they truly are; extend the wearer’s life; and slowly weaken and corrupt the wearer’s thoughts and ability to resist the power of the One Ring. The power the One Ring has upon an individual will only last until the Ring has an opportunity to return to its master, Sauron. The characters in the narrative also bestow agency upon the One Ring by stating that the Ring is always trying to get back to Sauron. Therefore the Ring itself has will and power. Gandalf states in The Fellowship of the Ring: “The Ring was trying to get back to its master. It had slipped from Isildur’s hand and betrayed him; then when a chance came it caught poor Déagol, and he was murdered; and after that Gollum and it had devoured him. It could make no further use of him…when its master was awake…it abandoned Gollum” (Tolkien 1954:69). Faramir, Boromir, and Denethor refer to the One Ring as “It” or a “Mighty Gift” (Tolkien 1955:1966). The shape of the One Ring is unknown to these individuals. The idea that the object exists is powerful and therefore legitimizes its authority as an inalienable possession.
The One Ring is an inalienable possession that is able to direct otherwise directionless magical energy and forces. Inalienable possessions are “certain things [that] assume a subjective value that place them above exchange value” and possession of one such thing creates difference rather than equality (Weiner 1992:6, 10). Weiner states “the possession not only authenticates the authority of its owner, but affects all other transactions even if it is not being exchanged” (Weiner 1992:10).

Sauron creates the Ring with the purpose of finding and controlling the other Rings of Power to have complete authority over the power of the rings. Sauron puts his own dark power into the ring, thus allowing him to exist without physical form after his first defeat in the War of the Last Alliance (Tolkien 2001:287-288). The Ring, when worn, allows the wearer to become invisible and grants extended life until the wearer is consumed and becomes a servant of Sauron. As an object, the Ring has a great power and sense of authority that has been bestowed upon it. This authority allows the wearer to become powerful enough to believe that they can rule over Middle-earth.

Weiner states that “all personal possessions invoke an intimate connection with their owner, symbolizing personal experience that even though private or secret, adds value to the person’s social identity” (1992:36). The owning of the Ring bestows authority, power, and a sense of prestige. The owners call the Ring “precious” placing value upon the object. “Inalienable possessions succeed their owners through time” and this preserves the individual through time and space (Weiner 1992:37). The Ring passes through five individuals. Of the five, four individuals receive the ring through fighting or taking it (Isildur and Gollum), the other finds it accidently (Bilbo and Déagol). Bilbo is unwilling to give up the Ring to Frodo knowing that he could never have the Ring back again. Bilbo passed it to Frodo in order to destroy the
Ring and destroying the great evil that plagued Middle-earth (Tolkien 1954:39-41). Destroying the authority of the object destroys its power (Weiner 1992:102).

In *The Gift* (1990), Marcel Mauss argues that gifts are never free and that gift-giving creates a reciprocal exchange. According to Mauss, there are three obligations to gift exchange: giving, receiving, and reciprocating. A giver does not only give away an object, but gives away a part of him- or herself: “the objects are never completely separated from the men who exchange them” (Mauss 1990:31). Weiner would agree that the object does possess the identity of the giver to the receiver, even after generations of exchange. A social relationship is created between the giver and the recipient, thus creating an obligation to reciprocate. To refuse a gift rejects the giver (Mauss 1990:13-14). If the reciprocating gift is less value than the initial gift, the receiver becomes socially inferior to the initial giver (Mauss 1990:65). Mauss explains that an unreciprocated gift makes the receiver inferior social status to the initial giver: “To give is to show one’s superiority, to be more, to be higher in ranks, *magister*. To accept without giving in return, or without giving more back, is to become client and servant, to become small, to fall lower (*minister*)” (1990:74). The One Rings possesses Sauron’s power, which allows him to survive in a non-corporeal form while the Ring remains physically intact; it does not matter who is in possession of it or how many times it passes from one individual to another. The giving of the Ring does not follow the traditional sense of giving it as a gift; rather it becomes interpreted as a gift by the possessor: precious, birthday gift, a Kingly gift. Gandalf explains that Gollum comes in possession of the One Ring by killing his friend because Déagol refused to give it to him as a “birthday-gift” (Tolkien 1954:66). Déagol states to Gollum “‘I have given you a present already, more than I can afford. I found this, and I’m going to keep it’” (Tolkien 1954:66). In the traditional sense of birthday-giving, Gollum would be inferior to Déagol because Déagol has
already given Gollum a gift for his birthday and would eventually reciprocate. When he kills Déagol for the Ring, the exchange remains unreciprocated. However, Gollum calls the One Ring his “birthday present” even though he takes the object by force for himself (Tolkien 1937:76; 1954:66). The stealing of the Ring by Bilbo, Gollum, and Isildur does not follow the traditional sense of gift-giving. However, the interpretation by these individuals that the Ring is a gift further exemplifies the power and influence the One Ring has on the wearers to achieve its goal to get back to its master.

The final example of inalienable possessions is the sword, Narsil, which the King of the Dúnedain wields during the first war against Sauron at the end of the Second Age. This sword has magic properties that could cut through any kind of armor, but the sword shatters when Elendil fights Sauron and dies during the battle. His son, Isildur, wields the broken hilt of Narsil and cuts the One Ring off of Sauron, bringing about his defeat. The shards of Narsil is passed down as an heirloom by the heirs of the Dúnedain; the last owner is Aragorn. The hilt of the sword is passed down to Aragorn who keeps it with him until the sword is forged anew into Andúril right before the Fellowship begins its journey (Tolkien 1954:343). Narsil is reforged by the Elves of Rivendell into Andúril before the Fellowship begins its quest and accompanies Aragorn throughout the remainder of the series (Tolkien 1954). Although Narsil is broken, the accomplishments the sword has in war are significant enough that the shards, the name, and power survive through time. This transformation from Narsil to Andúril does not affect the power or the symbolic meaning that the sword possesses; the reforging makes the object more of a more prevailing symbol of authority back to Aragorn as the returning King. Objects, like Narsil and the One Ring, depends upon the history associated with the objects to keep its value as an inalienable possession.
Authority

Authority may be defined as the right to say what can or cannot be done. However, authority relies on the reciprocal relationship of power of lower statuses to be legitimate (Needham 1980:88; Williamson 2003:9). Max Weber defines three different forms of legitimate authority: legal, traditional, and charismatic (Weber 1946:296-299; 1968:215). The Steward of Gondor, Denethor, would serve as an adequate example of both legal and traditional forms of authority. In the absence of the King, Denethor is the legal authority because the governmental system appoints to obey the laws, or set of rules, of Gondor (Weber 1968:215). Denethor is also the traditional authority because he is obedient to the position he holds within the system that has always existed (Weber 1968:215, 227). Occupying both of these spaces, he is obligated to maintain order when the rest of the world is in a state of chaos. In this position he is a legitimate authority. Eventually his greed to vanquish the evil gets the best of him and he seeks council with Sauron, which results in his chaotic change. The people of Gondor are in need of an authoritative figure to maintain order and to follow. This state of celeritas ends when Gandalf and Aragorn reestablish the order with a new form of authority. Aragorn becomes the next legal and traditional authority when Denethor fails.

Gandalf and Sauron emerge as charismatic authorities in the wake of the chaotic state into which Middle-earth is thrown. Charismatic authority is defined as an individual who has the right to lead because the individual possesses magical powers, heroism, etc. (Weber 1946: 296; 1968:241-242). Their followers respect that individual’s right to lead and authority due to unique qualities or abilities. The people of Middle-earth are divided into two groups; those who follow the side of good and those who follow the side of evil. Gandalf and Sauron are the opposing players in this game to decide if good or evil will control Middle-earth. Each controls and
manages his followers to shift the direction of force to accomplish goals and tasks determined to be of importance. Most of the time, the followers are directionless until they are given bearing by either Gandalf or Sauron. They need an authority to tell them what to do or how to accomplish given tasks. Legitimacy is given when the obedience of followers is given to the leader. How this obedience is established is based on the giving of promises or gift-giving. If obedience is to be willingly given, the authorities in place must be obligated to reciprocate. This provides orderly balance of exchange. If this balance is disrupted, then followers cease to give obedience and the legitimacy of authority fails. In another sense, if authority does not predicate results, new authority will be sought.

Denethor, as the Steward of Gondor, has the responsibility to protect the people of Gondor and protect Minas Tirith from the forces of Mordor. Denethor fails to live up to his responsibilities that lead to his downfall (Tolkien 1966:1063-5). The same can be seen with Saruman, known as the White, the highest Wizard of the Order and leader of the White council (Tolkien 1054:319). He has the respect of Elves, Dwarves, Hobbits, and the Men because of his power and vast knowledge. Once it becomes known that he lusts for the One Ring, he loses his legitimacy (Tolkien 1954:321-323). This culminates when he asks Gandalf to join him in his ruling of Middle-earth. Saruman fails, his influences fail, he loses his power when his staff is broken, and he is cast out of the White Council as a legitimate authority (Tolkien 1954:322; 1965:725). The only influence he has over any one individual is the influence over Grima Wormtongue, who eventually betrays Saruman and kills him (Tolkien 1965:728-9; 1966:1272). In contrast, the followers of Aragorn support his decisions and authority. After the breaking of the Fellowship, Gimli and Legolas continue to follow Aragorn’s decisions: they rescue Merry and Pippin from the Saruman’s army; they battle at Helm’s Deep; they summon the Dead; and
fight in the Last Battle against Sauron’s army (Tolkien 1965:519, 544, 665; 1966:583, 1100). By the time of the battle against Sauron, Aragorn has over 7,000 men willing to go into battle alongside him, Gandalf, Gimli, Legolas, Pippin, and Merry (Tolkien 1966:1098). Once the war is over and peace has been restored to Gondor, Aragorn is crowned king. Although Aragorn had the birthright to be king, the people of Gondor chose Aragorn to rule: “‘Men of Gondor…Shall he be king and enter into the City to dwell there?’…And all the host and all the people cried yea with one voice” (Tolkien 1966:1205). The people’s choosing Aragorn as their king legitimizes Aragorn’s authority to rule.

Gandalf and Sauron set the chess board as opposing players; one side is good and the other evil. Both make promises to their followers; however Gandalf makes good on his promises while Sauron does not. Gandalf promises Thorin and the Dwarves that he will aid them in their return to the Lonely Mountain, promises the return of the King to Middle-earth, and that the One Ring would be destroyed. Sauron, in contrast, promises power, dark magic, and knowledge, but generally fails to keep his word. He hoards his knowledge and power to become a more superior being. In the Second Age, Sauron comes into power and wants to rule over all Men; this offends the Númenóeans (Tolkien 2001:267). King Ar-Pharazôn marches to Mordor and demands that Sauron return to Númenor as his hostage. Sauron uses his position to destroy the Númenóeans from within. In a few years, Sauron goes from hostage to the King’s advisor (Tolkien 2001:271). Númenóeans feared death; Sauron uses this fear to manipulate the people to worship Morgoth under the lie that Morgoth has the power to save them from death (Tolkien 2001:271-272). As his influences grow more powerful, Sauron erects a temple at which he performs human sacrifices to Morgoth claiming that this ritual would release the Númenóeans from death (Tolkien 2001:273). Sauron convinces the King to attack Valinor by cutting down the Trees of
Valinor. For the King’s treachery, the Valar calls upon Ilúvatar to punish the Númenóeans. The sea drowns the island of Númenor and destroys the Númenóean navy. Sauron flees back to Mordor (Tolkien 2001:278-1). His promise to the Númenóeans that he could deliver them from mortality is a promise he never planned to uphold because he wants to destroy the Númenóeans. The only way he could was using their fear against them and corrupting the King.

In *The Hobbit*, the Dwarves are the power since their brute force allows them to complete their task. Gandalf is the authority who supplies the Dwarves with guidance and advice to reclaim their mountain from Smaug. The Dwarves do not have to take the advice of Gandalf, but when they do not, they end up in trouble from which either Gandalf or Bilbo must extricate them. This is evident with the Trolls and the Goblin King (Tolkien 1937:39-40, 62). When Gandalf leaves the Dwarves at the edge of Mirkwood, the Dwarves seem unable to function properly and eventually get captured by the spiders and the Elves. In these situations, it is Bilbo who must save the Dwarves. In order to complete the task of reclaiming the Lonely Mountain, Thorin relies on Gandalf to achieve his goal. It is Gandalf who counsels him to gather at Bag-End and convinces Bilbo to be their burglar. When Gandalf cannot aid the Dwarves, Bilbo assumes the role of saving the Dwarves (Tolkien 1937:144-153, 170). However, Bilbo has the aid of the One Ring to fulfill the tasks.

In his work on the analysis of sovereignty in ancient Indo-European society, Dumézil sees that religious and social systems are structured according to spiritual authority and temporal power, with sovereign gods and heroes always appearing as couples: the creative but ferocious legislator and the conservative producer of world order. He concludes by stating that celeritas is chaos and energy to create where gravitas is the order that is necessary to maintain. He describes celeritas as being too wild to continue for a long period of time in the real world, and gravitas
will eventually fail from the lack of energy unless it is restored every now and then by celeritas (Dumézil 1988:40-41). Dumézil’s purpose is to demonstrate that the relationship of temporal power and spiritual authority as a way of representing life and social order. This can be seen in the religious system of India with the Brahmins (authority) and the social warrior system of the Kshatriyas (power). The Brahmins are the priestly caste that set the tone and goals of the Indian people and the Kshatriyas are the warriors who enforced laws and protected the Brahmins (Dumézil 1988:22, 34, 179; Needham 1980:74). Another example that is provided by Dumézil is the comparison of the Roman gods to the Greek kings, Romulus to Theseus and Numa to Lycurgus (Dumézil 1988:47). Romulus is wild. He kills his brother and he participates in the rape of the Sabine women. During his rule, he does not organize any laws or morality. In contrast, Numa, Romulus’s successor, is credited with the establishment of order in Rome by introducing the systems of laws and religions that made Rome a civilization. Romulus is the celeritas that creates Roman rule; while Numa is the gravitas that brings control and maintains Roman rule (Dumézil 1988:47-53). As shown here celeritas can create, while gravitas can maintain. In this example, without the gravitas of Numa, there would be nothing to Rome.

Dumézil does not define the terms of power and authority nor relate them to chaos and order. The idea of chaos and order can be compared to the ideas of authority and power, in that chaos is to power as order is to authority. It is important to keep in mind that these terms of power/authority and chaos/order are situational within the events of the structure and the terms may change with the change with the event of a different structure. The definition of order and chaos are dependent upon the individuals or groups who define them.

The Army of the Dead, or the Dead Men of Dunbarrow, is the power that turns the tide of the Battle of Penithir. Aragorn summons the Army of the Dead to fulfill their loyalty to the heir
of Isildur by fighting against Sauron’s army at Minas Tirith. Aragorn is the legitimate authority who had proven his legitimacy by entering the underworld domain of the Dead in the White Mountains. This act of entering the underworld, showing bravery, summoning the Dead as the heir of Isildur, and promising to free their souls once the loyalty was fulfilled, proves his legitimate status to the Dead. In return, the Dead agree to follow Aragorn into battle, which results in a bloody victory, granting the Dead their freedom (Tolkien 1966: 978-983, 1059, 1092). Aragorn proves his legitimacy by entering the domain of the Dead, and keeping his promise of freeing the Dead.

*The Failure of Saruman, Sauron, and Gollum*

The failure of Saruman, Sauron, and Gollum can be taken in context of how an individual conspires to have both power and authority. This selfishness, exemplified by Saruman, Sauron, and Gollum, creates an imbalance of order and generates celeritas. In the beginning of *The Lord of the Rings*, Middle-earth is in a state of chaos with events that continuously reestablish the chaotic nature with evil events until finally, when the Ring is destroyed, order is restored.

The Istari are the messengers of the Valar; they emerge from the West in the beginning of the *Third Age* and become known as the Wizards. Out of the five who come, three remain in Middle-earth (the whereabouts of the other two are unknown). Saruman is the highest authority of the Order; he is fascinated with the workings and machinery of Men, and wants to know the Rings of Power lore. Gandalf praises him as being a powerful and knowledgeable Wizard; he is in a position of authority in the Wizard Order and with Elves. Saruman has the authority of knowledge, which is sought in council by Elves and Men. However, his mind is corrupted by thoughts of ruling over the race of Men and of Middle-earth. He believes that by befriending Sauron he would gain the power and authority needed to rule. He has no intention of being ruled
over by Sauron and has plans to keep the One Ring for himself. With his fascination with machinery, Saruman transforms both Isengard and the Shire into industrial centers and builds a work force by befriending Orcs and Wild Men in Isengard and enslaving Hobbits in the Shire. Saruman uses power to force others to do his bidding. He is not a legitimate authority because he makes promises he does not intend to keep and tries to use his power and magic to persuade, manipulate, and enslave followers. After Gandalf reveals Saruman’s plans at the Council of Elrond, and tells how he has changed, Saruman loses many of his followers and he is no longer trusted. Instead he finds followers in those who are easily manipulated like Grima Wormtongue, Wild Men, and Orcs, as well as those he enslaves by the use of magic like Théoden and the Hobbits.

Gandalf is the structural opposite of Saruman. Gandalf, unlike Saruman, however, takes a liking to learning culture, language, and lore from the Elves, Men, Dwarves, and Hobbits. He always tries to maintain order within Middle-earth, while Saruman creates chaos with his plans to rule over Middle-earth. During his betrayal, Saruman attempts to persuade Gandalf to rule beside him. When Gandalf refuses, Saruman imprisons Gandalf (Tolkien 1954:321-323). After the Battle at Helm’s Deep and the attack of the Ents upon Isengard, Saruman’s power is taken away when Gandalf breaks his staff (Tolkien 1965:713-725). Gandalf replaces Saruman as the high authority of the Order, and destroys Saruman’s staff, leaving Saruman powerless. Gandalf states that Saruman’s mistake is that he wanted to be both a tyrant and a counselor (Tolkien 1965:726). This combination creates an imbalance between authority and power and ultimately resulted in his failure. Saruman is defeated in Isengard, but his plans are not yet done. After the defeat of Sauron, Saruman flees out of Isengard with Grima towards the West. He is met on the road by the remaining members of the Fellowship who mistake him for a beggar (Tolkien
1966:1228). Saruman moves from a higher position of authority to a lower position without authority or power. The only authority that remains is his rule over Grima and those enslaved in the Shire (Tolkien 1966:1244-1272).

Saruman occupies the sphere of power and chaos. He uses his “Voice” (power of persuasion) and magic to manipulate and enchant individuals to his faction. His authority is lost when he changes his interests from being a wise councilor to wanting to control and rule over Middle-earth. Gandalf represents authority and order. Throughout the tale, Gandalf’s primary role is to maintain whatever order still remained in Middle-earth and to combat evil. He is authority because of his personality, ability to keep promises, morality, and the advice he gives from the position of a friend and counselor. Gandalf is not easily persuaded and he has the morals to know right from wrong. Saruman fails when he tries to have both power and authority for the wrong reasons and creates chaos. In the end, Saruman is defeated by his own chaotic devices.

Authority is granted to the individuals who possess the One Ring by Sauron, but the power of the Ring is able to bend the mind and will of the possessor to the willpower of the Ring. The lust that drives Gollum to the Ring left him in a constant state of chaos that causes him to have a split personality. The two personalities act as their own separate entities: a Sméagol side and a Precious side. Sméagol is calmer, understanding, and reasonable while in contrast, Precious is chaotic, wild, and irrational. Sméagol and Precious rely on the other to maintain some sort of order within Gollum’s life. This is evident in the debates that he has with himself. In these conversations Sméagol wants to keep his promises to Frodo to take him to Mordor whereas Precious wants the Ring to make him more powerful and does not care about Frodo (Tolkien 1966:787-9).
Outside of Gollum’s head, Sam plays the counterpart role where Gollum is chaotic due to the will of the Ring and Sam tries to maintain order by constantly trying to reason and talk with Gollum. Sam is in a situation where he is positioned between Gollum and Frodo as the rational, orderly individual. He does not seek power or authority; he is junior to Frodo in social status in the Shire and the position Gandalf had placed him in as a servant to Frodo. Sam is the one who makes sure the burden of destroying the Ring gets fulfilled. In this triad relationship, Frodo is liminal to the effect that the Ring did not poison his mind and he is able to resist the power of the Ring until the very end when the Ring finally corrupts him. Gollum becomes too lustful for power; this allows the Precious side to take control. In this chaotic state, Gollum is able to retrieve the Ring at the cost of dying by falling into the cracks of Mount Doom. Although he pays for it with his life, he is able to accomplish the task of destroying the Ring when Frodo could not (Tolkien 1966:1178-1179).

Sauron misinterprets what it means to be a legitimate authority by trying to control power and authority by ruling with an iron fist. He is an illegitimate authority figure because he cannot maintain control of both sides which results in his own selfish demise. When Morgoth is defeated in the Second Age, Sauron repented his evil deeds, but not for long. He oversees the creation of all the Rings of Power and decides to forge one of his own in secret at Mount Doom, the One Ring (Tolkien 2001:287-8). Once worn, the Ring bestows upon Sauron the ability to locate where the other Rings of Power dwell and the thoughts of their owners. When he first puts on the Ring, the Elves who possess the three Elven Rings are able to perceive Sauron’s plan. They take off the Rings and hide them. From that point, when Sauron knows that he cannot deceive them, he declares war upon the Elves. The Men who wear the nine Rings of Power are the easiest to manipulate and become the Ringwraiths, Sauron’s faithful servants. In the Third
Age, Sauron uses manipulation as his main tool to build his army and stretch his authority across Middle-earth. Sauron is able to achieve a semblance of authority through manipulation of making promises he does not intend to keep. This makes him an illegitimate authority. Coupled with his lust for power and control, this action results in his defeat at the end of the Second Age where he loses his physical form and the One Ring. In his second attempt to control Middle-earth as the Necromancer dwelling in Dol Guldur in southern Mirkwood, he secretly gains power to return to Mordor. Gandalf interrupts his plans and Sauron vanishes (Tolkien 1954:65). Gandalf becomes Sauron’s counterpart - Gandalf represents gravitas and Sauron represents celeritas. Sauron creates evil while Gandalf tries to maintain order.

Gandalf proves that he is able to maintain the balance of power and authority. Gandalf is a very powerful being in the sense of being able to control and produce magic, but he allows people to have free agency and make their own decisions. Gandalf does not try to rule, but gives hope when all other hope is lost. These elements provide Gandalf with a group of loyal followers like Dwarves and the Fellowship. How authority figures treat their followers, what is exchanged between giver and receiver, who is deemed good and evil, and victorious and vanquished, determines who is a legitimate authority and who is illegitimate.

This chapter demonstrates that Tolkien’s Middle-earth, despite obvious unfamiliarity, replicates the structures that are found in western culture and Christian notions. The purpose of structuralism is to define the structures of how cultures think, operate, and perceive life. Appendix A and B provides the cultural histories and background that was needed to understand Tolkien’s universe. From these cultural histories, it is evident that Tolkien took the time and energy to provide the cultures and the people of Middle-earth with an origin, history, and a meaning of life. Tolkien’s cultures function in the same fashion as cultures in the non-fictional
world which can be analyzed in the same ethnographic fashion. The binary oppositions of life/death, white/black, good/evil, chaos/order, and power/authority can be defined in various non-fictional cultures. Structuralism allows the researcher to extract the meaning of these concepts to provide evidence that Tolkien’s cultures function in the same ways that non-fictional cultures do and provide evidence that anthropological theory can be used to analyze more than just non-fictional cultures.

As a bricoleur, Tolkien created Middle-earth by combining elements from his knowledge of the world with experiences from within his own culture into a structure that is perceived by the audience. The concepts from this chapter covering theory and methods will be applied in Chapter Two to show that Tolkien’s The Lord of the Rings contains the same universal structures found in myths from the non-fictional world.
CHAPTER II
TOLKIEN’S MYTH

In a letter to Milton Waldman in 1951, Tolkien wrote:

I was from early days grieved by the poverty of my own beloved country: it had no stories of its own (bound up with its tongue and soil), not of the quality that sought, and found (as an ingredient) in legends of other lands. There was Greek, and Celtic, and Romance, Germanic, Scandinavian [Beowulf], and Finnish (which greatly affected me); but nothing English. Of course there was and is all the Arthurian world, but powerful as it is, it is imperfectly naturalized, associated with the soil of Britain but not with English; and does not replace what I felt to be missing. For one thing its ‘faerie’ is too lavish, and fantastical, incoherent and repetitive. For another and more important thing: it is involved in, and explicitly contains Christian religion. [Tolkien 2001 [1951]:xi-xii].

There were three reasons why Tolkien wanted to write his mythology: he needed a history of origin for his languages, he had a desire to express himself through his poetry and express his morals and values, and he wanted to create a unique mythology that England was lacking (Carpenter 2000:97). In this chapter, I analyze Tolkien’s myth by following Claude Lévi-Strauss’s method for the structural study of myths. This approach breaks down the elements of the fiction presented in the previous chapter to show how Tolkien’s myth can be equated to the basic elements that are universal in many other cultural myths.

Elements of Myth: Breaking Down Tolkien’s Myth

In “The Story of Asdiwal” Lévi-Strauss quotes from Franz Boas’s work Tsimshian Mythology: “[mythology] is a description of the life, social organization and religious ideas and practices of a people” (Lévi-Strauss 1976:172, quoting Boas 1916:32). Tolkien used other mythologies and cultures to influence his writing and the creation of his world. For this discussion, I want to move away from arguing which cultural elements influenced his work and focus more on the structural elements that are presented. Lévi-Strauss defines myth as a sequence of mythemes (the structural units that make up a myth) that construct a narrative that
creates order. These mythemes can be further sorted into binary oppositions that represent the structure of the myth (Lévi-Strauss 1963:211-212). Lévi-Strauss states that “mythical thought always progresses from the awareness of oppositions toward their resolution” (1963:224) meaning that myths consist of elements that oppose one another and other elements that are used as mediators to these oppositions (1963:224). To Lévi-Strauss, universal laws govern mythical thoughts and thus produce similar myths in different cultures. For this analysis, I do not want to look at the similarities that Tolkien used as influences for the creation of his myth, but rather look at how his myth can be broken down using structural theory of myths to understand the structure of the Middle-earth world. It is understood that Tolkien was influenced by his vast knowledge of languages and history. The imagination of Tolkien created a myth that does have the same elements that Lévi-Strauss procured from his study of myths.

In “The Structural Study of Myth” (1955), Lévi-Strauss states that myths may be broken down into the structural units that are layered to create a narrative. These structures, or schemes, can exist on several levels and planes (1955:430, 431, 443, 444; 1963:212-214). Tolkien constructs his myth by using timeline structures. There are several structures, i.e. timelines, going on at once with different character groups. However, what remains the same is the directionality (the structure of the narrative flows from West to East to West), goals of the characters to destroy evil, and the ending of evil. Defining the structures and how they are associated is important to a firm understanding of the structural study of myth.

**Structure and Event**

Comparing Fernand Braudel’s definition of structure, conjuncture, and event to Marshall Sahlins’s definition and construction of structure, conjuncture, and event demonstrates they are different and similar in ways of trying to understand time, space, and history. It is important to
distinguish this dichotomy of thinking that is being used for the same purpose, to study the structure of history; and in this case the structural history of Middle-earth. Sahlins does draw on the work of Braudel, but applies the theory more specifically to a period of time in Hawaiian history, whereas Braudel intends for his methods to be generally applicable.

Braudel uses the longue durée concept to stress the gradual effects of space, climate, and technology on the actions of human beings in the past. He defines structure as a “fixed series of relationships between realities and social masses…structure is a construct, architecture, but over and above that it is a reality which time uses and abuses over long periods of time” (Braudel 1980a:31). The structures endure and are in repetitive in cycles that are conditioned by constraints and by limitations of impersonal forces, such as geography, climate, and biology (Braudel 1980a:31-32; Foster 1978:63). This description falls close to the definition of structure that Marshall Sahlins lays out in Historical Metaphors and Mythical Realities (1981). A culture’s structure is unique; it is reproduced by a society’s experiences to achieve order (gravitas) from the chaos (CELERITAS) of life. To Sahlins, structure is what makes the norms comprehensible, but is also evident in the way individuals respond to different situations that can determine reactions and decisions of individuals (1981:67). Structure is discussed as the overarching basis of time, analogous to historical time, for a culture in which the structure may stay stable through long periods of time or may be disrupted by events and are acted upon by cultural agents, the conjuncture (Sahlins 1981:5, 33, 35, 68).

To Braudel, structure was the first level of time with his second level of time being the conjuncture. Conjuncture, according to Braudel, is the mental and cultural shifts that undermine the structure and will form a new balance within the structure (Braudel 1980b:75). To Sahlins, these are the relationships cultural agents contribute to the perpetuation of structure (Sahlins
These relationships can either create balance or transform the structure based on the actions of the individuals (the events) (Sahlins 1981:54). These relationships can be cultural agents or mental structures, thought processes, which could have an effect upon the culture. According to Sahlins, events may reinforce the existing structure or may change the existing structure. Events rewrite and update the existing structure to allow structures to continue or be replaced with new structures. Events focus on the overlapping and interconnecting pieces of the structure (Sahlins 1981:33). To Braudel, events are the third level of time in which they are just “blips” or noises of deeper current histories on the surface of the structure (Foster 1978:63). Braudel gives priority to long term historical structures over events (Braudel 1980a:27; 1980b: 48; Foster 1978:63-64).

Events cause a person’s actions, which can either keep the existing structure or replace the structure completely. Braudel downplays the application of important events within the structure. Sahlins views the relationship of structure, conjuncture, and event as more fluid than that of Braudel’s rigid, hierarchical, ideas of the levels of time. Evans-Pritchard states in *The Nuer* (1940) that events are specific to the group that is being observed: “time is to Nuer an order of events of outstanding significance to a group, each group has its own points of reference and time is consequently relative to structural space” (105). The structure is the building block of time for a society with the underlying conjuncture of cultural and mental agents that create the flow and may stop the flow of the structure due to the actions of people within the society. These events can be important culturally or cross-culturally, but they still affect the structure by changing it completely or by allowing it to continue.
Analyzing the Myth

From this analysis of structure and event, we are then able to add Lévi-Strauss’s construction of myth. In *The Story of Asdiwal*, Lévi-Strauss lays out the different structural layers that make up a myth: geographic, techno-economic, sociological, and cosmological (Lévi-Strauss 1976:146). Lévi-Strauss states that these levels exist independently but are interwoven and superimposed upon one another creating an overarching structure. Once these elements are extracted from the myth, the meaning of the myth can be understood (Lévi-Strauss 1964; 1976:146-197). These levels demonstrate the distinction between the two elements in the construction of myth: sequences, the chronological order in which events take place, and schemes, planes on which the sequences are organized at different levels. In *Savage Mind* and *Myth and Meaning*, Lévi-Strauss argues that myth is structured diachronically and synchronically at the same time (Lévi-Strauss 1966:265; 1976:44-54). These different sequences, which are organized onto planes on different levels, are analogous to Sahlins’s and Braudel’s analyses of structures and events in which the structures are the schemes and the schemes are the events. Lévi-Strauss’s schemes are as follows: geographical, cosmological, integration, sociological, techno-economic, and global schemes (Lévi-Strauss 1976:158). Lévi-Strauss’s model of the construction can be applied to Tolkien’s myth of Middle-earth.

The geographical scheme is the journey of Bilbo and Frodo traveling from West to East and the return journey is from East to West. Every migration or journey follows the same linear navigation: West to East and return journey (of Frodo, Bilbo, or of the Elves leaving Middle-earth) of East to West. The progression of events (sequencing) also is the same at the most basic level: beginning in the West, travel East for the purpose of destroying evil, success in the East, evil is destroyed/defeated, and the return journey from West to the East. Middle-earth (as the
name suggests) is the mediating plane of the geographic area; it is where the events take place and it is situated between Valinor (where there is life, good, and light) and Mordor (where there is death, evil, and darkness). Valinor, also known as the Undying Lands, is an island that is located off the west coast in the northern region of Middle-earth. Before the time *The Lord of the Rings* took place, Valinor was once a part of the land of Middle-earth where the Valar (gods) lived. This was also the location of the Two Trees of Valinor that represented life (the Elves were awoken) and light of Middle-earth (Tolkien 2001:38). The land was surrounded on three sides by the sea and mountains on one side to protect the land (Tolkien 2001:37-42). After the fall of the Númenor, the land became surrounded by the Great Sea in which no mortal or immortal could travel to Valinor anymore (Tolkien 2001:259-282). Mordor is contrastingly located in the West on the opposite side of Middle-earth. This realm was created by Melkor (Morgoth) because he wanted his own land to fashion his own creations that categorically oppose those creations made by the Valar (Tolkien 2001:35, 41, 294). This area is filled with darkness, fire, and desolate plains. The land of Valinor is filled with light, exists at a higher elevation geographically, and symbolizes a higher status and importance than the rest of Middle-earth.²

² The Fall of the Númenor is referenced in *The Silmarillion* (Tolkien 2001:259-282) as the destruction of the Island of Númenor. The Númenor was a race of great Men who had extended lives and were very powerful. During the Second Age when the Men of Númenor defeated Sauron with their military force. Sauron realized he could not defeat the Númenor, so he allowed himself to become a prisoner during a second attack of the Númenor upon Mordor. During this time, Sauron convinced the Númenor to worship Morgoth and he was able to persuade King Ar-Pharazôn to betray the Valar and besiege them. As a result, Manwë, King of the Valar, called upon Ilúvatar, the Supreme Being (god), to punish the Númenor by flooding the island and killing all but a few survivors, the Faithful. The Faithful traveled to Middle-earth and established the two great cities of Gondor and Arnor. The island was engulfed in water and the land of Valinor retreated into the sea.

Although Middle-earth does not have a heaven or hell, Valinor and Mordor could be analogous to the Christian notions of heaven and hell. As the bricoleur, Tolkien may have gotten his ideas from Christian imagery because he was a devout Catholic and from his knowledge of Norse mythology (Carpenter 2000:39, 72). The geographical scheme is demonstrated in Figure 1.
The narration of the myth at the conclusion of *The Lord of the Rings* ends with the journey to the Grey Havens, Undying Lands (Valinor), of Frodo, Bilbo, Gandalf, Elrond, and Galadriel (Tolkien 1966:1285). When they travel to the Undying Lands, these individuals are not going to a physical death; instead, it represents another life in another realm. Even though they go back to the West, it is not the same West it was when the Hobbits left the Shire, nor are they the same people. The Shire was physically transformed by Saruman and was cleansed and the Hobbits underwent a transformation into different people (Tolkien 1966:1233-1276). However, the narration by Samwise also ends with his journey back West to the Shire after saying good-bye to Frodo. The geographic scheme begins in the West and ends in the West.

One gets only little glimpses of the cosmology of Middle-earth in the narration of *The Lord of the Rings*. There are references to Valinor, Melkor (Morgoth), Eldar, Númenor, and others throughout the text; however, the full cosmology is not fully understood until examining *The Silmarillion*. The cosmology is interwoven with the fabric of the narration, guiding the story along and filling it with symbolism that represents the cosmos. Take, for example, the Great Eagles, the messengers of the King of the Valar, Manwë, who watch over Middle-earth and Morgoth in Mordor. To see them is an omen of good luck and their history as messengers from
the Valinor is known by many of the peoples in Middle-earth. The Great Eagles appear and help in every great battle against Mordor that ended the First, Second, and Third Age (Tolkien 2001:110, 158, 182, 277; 1966:1181, 1184); rescue the Dwarves from the Wargs (Tolkien 1937:96-106); the Battle of the Five Armies (Tolkien 1937:257, 261-2); and rescue Gandalf from his imprisonment in Isengard and after his battle with the Balrog in Zirak-Zigil (Tolkien 1954:324; 1965:623). Another example is the Great White Tree from Gondor, which is the representation of one of the elder Two Trees of Valinor, in ancient times before the Elves. The two trees, Telperion (the Silver Tree, male) and Laurelin (the Golden Tree, female), are the first two lights of Arda (Earth) until Melkor destroys them. Eventually they are refashioned into the Moon and Sun from the last flower of Telperion and the last fruit of Laurelin by the Valar. The descendent saplings of Telperion become the symbol of the Gondor kingdom and are worn on the shields, helms, and surcoats of the Men of Gondor (Tolkien 2001:38; 1966:936). Both of these elements are symbolic representations of the cosmology that is present throughout the text and link the present (the narration of the text) to the past.

In addition, these examples represent the binary oppositions of male/female, good/evil, light/dark, Valar/Melkor. The binary oppositions are part of the integration scheme, a scheme Lévi-Strauss establishes by integrating the results from the geographic and cosmological schemes (Lévi-Strauss 1976:163). There are several binary oppositions in Tolkien’s myth that integrate into the major themes: male/female, light/dark, white/black, good/evil, life/death, chaos/order (CELERITAS/GRVITAS), magic/non-magic, Gandalf/Sauron, Elves/Orcs, and power/authority. As we see with the geographic scheme, the opposition of West and East has further symbolic representations than just the linear travel sequence. The West is associated with life, good, birth, light, and white. The Elves, Númenor, the Great Eagles, and the Wizards
emerge from the West into Middle-earth. East is associated with death, evil, darkness, and black. Mordor is located to the East and creatures like Orcs, Goblins, and the giant spiders are works that mimic that of the Valar, but are dark and evil. It is also seen as the narration moves West to East that less magic is being used in battle (instead battles involve machines and more physical means in place of magic) and the power of the One Ring gets stronger as it gets closer to its Master in Mordor. The progression from West to East also represents the fading of the age of Elves and the rising age of Men. In the conclusion of the narration when Gandalf, Frodo, Bilbo, and the Elves leave from Middle-earth to the Grey Havens, they travel west to the Undying Lands. They do not die, but are transported into another realm, born again, into another world, reinforcing the idea that the West is associated with life and birth.

A common theme is the opposition of the colors of white and black, especially white light and darkness. These oppositions, white and black, are analogous to Tolkien’s metaphor of the colors of a chess board, one player is white and another player is black (Tolkien 1966:945, 954). Each chess piece on the board represents an event that takes place within the text; the strategic push and pull aspect of the game to set up the board to ultimately checkmate the opposing player. Tolkien uses the metaphor of the chessboard to describe the strategic planning between Gandalf and Sauron (white versus black). Each sets his pieces (events or individuals) into place to set up a victory over one another. This metaphor makes sense to have the two opposing forces as Gandalf and Sauron because Gandalf is one of the Istari that is sent to Middle-earth by the Valar to be the enemies of Sauron. Gandalf states at the conclusion of *The Return of the King* that he is the enemy of Sauron and now that he is defeated, it is his time to leave Middle-Earth (Tolkien 1966:1211, 1242).

Sauron and Gandalf are the opposing players representing black and white. Black is
associated with evil, evil creatures (orcs, goblins, and spiders), darkness, machinery, Mordor, death, Melkor, and Sauron. The Nazgûl, the Nine Ringwraiths, are clothed in black robes and ride black horses. Sauron manipulates the Nazgûl, wanting to learn dark magic and knowledge, ultimately becoming Sauron’s servants (Tolkien 2001:289). In opposition, white represents good, light, knowledge, beginning, life, Elves, Gandalf, and Valinor. In *The Fellowship* Saruman states to Gandalf: “White! It serves as a beginning. White cloth may be dyed. The white page may be overwritten; and white light can be broken” (Tolkien 1954:321). Saruman transforms from a being of white to multi-colors that place him into a liminal state because he is not good but he is not on the side of Sauron. He uses Sauron, or so he thinks, to gain power for his own. He is in pursuit of his own gain and greed (Tolkien 1954:321-323).

The sociological scheme of Tolkien’s work is highly male dominated with all the characters, except four, being male. There are four major women who are mentioned in the text, Galadriel, Arwen, Goldberry, and Éowyn. Their roles in the narrative reflect their roles in a patrilineal and patriarchal society, specifically Éowyn who states her place within society as female, but defies it by going and fighting in battle (Tolkien 1966:976-7). Galadriel plays a much larger role in the narration and is a more respected female figure because of her age, origin (Valinor), knowledge, and because she is an Elf, which gives her a higher status. She is given one of the Rings of Power, gathers the White Council, and saves Gandalf from the depths of Khazad-dûm. Arwen, although she seems to hold a minor role in the narration, is the granddaughter of Galadriel, the love of Aragorn, the link between the Elves and Men (she is half-elven), and she is one of the remaining Elves in Middle-earth after the ending of the Third Age.

In *The Lord of the Rings* there are several social arrangements including the Shire, the Council of Elrond, the Fellowship, the White Council, and Mordor. In the prologue of *The
*Fellowship of the Ring*, Tolkien provides the social organization of the Shire (Tolkien 1954:11-13). The Shire is divided into four quarters, Farthings, in which families manage their own affairs. There are only a few government offices that include the mayor who presides over banquets and events of the Shire, Postmaster, and the First Shiriff, the equivalent to the Hobbit’s police (Tolkien 1954:13). The Council of Elrond consists of males who represent the Free Peoples of Middle-earth, the people who are against Sauron and Mordor. The Council includes the Hobbits, Bilbo, Frodo; the Dwarves, Glóin and Gimli; the Elves, Elrond, Glorfindel and Erestor of Elrond’s council; Galdor who represents Círdan; Legolas who represents the Elves of Mirkwood; and Men, Boromir from Gondor, Aragorn, and Gandalf (Tolkien 1954:297-298). Like the Council of Elrond, The Fellowship consists of nine males who represent the Free Peoples of Middle-earth: four Hobbits (Frodo, Sam, Merry, and Pippin), one Elf (Legolas), three Men (Aragorn, Boromir, and Gandalf), and one Dwarf (Gimli). Elrond states “‘they shall represent the other Free Peoples of the World: Elves, Dwarves, and Men’” (Tolkien 1954:342).

The White Council is created in response to Gandalf’s suspicions of the growing darkness in Mirkwood is Sauron (Tolkien 2001:300). The White Council consists of the Elves, Círdan, Galadriel, and Elrond (those who held the Three Elven Rings of Power) and the Wizards, Saruman, who is the head of the Council, and Gandalf (Tolkien 1954:310; 1980:239-240; 2001:300). Unlike the Fellowship and the Council of Elrond, the White Council is made up of one female and four males who only represent the Wizards and the Elves. Wizards are the messengers of the Valar and are sent to combat Sauron’s deeds (Tolkien 1980:289-291). Being that Gandalf and Saruman are messengers of the Valar, they have authority over the Elves on matters which maintained order in Middle-earth. However, the Elves are, on Tolkien’s hierarchy, the superior race in Middle-earth. Finally, Mordor’s social organization consists of Sauron’s

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3 As spelled by Tolkien (Tolkien 1954:13).
Army, the Orcs, Trolls, the Southrons, and the Nazgûl (Tolkien 1965:820, 821; 1966:1046, 1046, 1111, 1112). In this social arrangement, the Nazgûl are Sauron’s main servants whom Sauron uses to hunt down the One Ring (Tolkien 1954:237, 573). However, when the Nazgûl have to abandon the hunt for the Ring because they cannot reach Rivendell, they retreat back to Mordor to prepare for war against Gondor (Tolkien 1954:268). The Lord of the Nazgûl, the Witch-King, led Sauron’s army in the Battle of the Pelennor Fields (Tolkien 1966:1047).

Battles also bring groups together in solidarity to fight against an enemy. Under any other circumstance these social arrangements would not exist; for example the Wild Men of the Woods and the Riders of Rohan, Ents and Hobbits, and the Dwarves and Elves. On the way to Minas Tirith, Théoden and the Riders of Rohan come upon the Wild Men of the Woods who hate Orcs and offer their services to Théoden. The Wild Men do not side with Gondor, but hate the Orcs. They show Théoden a different way into Minas Tirith behind the Enemy (Tolkien 1966:1034). In another example, Merry and Pippin join the forces of the Ents to invade Isengard and cleanse the land of Saruman’s machinery and destruction (Tolkien 1965:601). Elves and Dwarves have been at odds with one another since the murder of Thingol and the stealing of the Necklace of the Dwarves (Tolkien 2001:232). The relationship between the Elves and Dwarves is realized when the Fellowship enters Lothlórien and Gimli is not permitted unless he is blindfolded (Tolkien 1954:425-434). With word from Galadriel, he is allowed into Lothlórien without being blindfolded (Tolkien 1954:434). Gimli’s relationship with the Elves begins to get better when he gazes upon the beauty of Galadriel and when Gimli asks Galadriel for three strands of her hair as a gift when the Fellowship departs from Lothlórien (Tolkien 1954:468). This is the turning point when Gimli and Legolas become friends. Their friendship grows throughout their journey with Aragorn to Rohan, Helm’s Deep, the Stone of Erech to summon the Dead, and to the final battle
against Sauron (Tolkien 1965:644-645; 1966:978-983, 1110-1113). The *Annals of Kings and Rulers* states: “he [Gimli] was named Elf-friend because of the great love that grew between him and Legolas, son of King Thranduil, and because of his reverence for the Lady Galadriel” (Tolkien 1966:1343-1344). Legolas and Gimli do sail to the Undying Lands together: “Legolas took Gimli Glóin’s son with him because of their great friendship, greater than any that has been between Elf and Dwarf” (Tolkien 1966:1344).

In the techno-economic scheme *The Hobbit* begins with the Dwarves’ problem of the Dragon in their mountain hoarding their treasure and ends in the defeat of the dragon. The Battle of the Five Armies successfully destroys the goblin army and, thus, a major source of evil. Because of their greed, the Dwarves create conflicts with other groups because they want their treasure for themselves until the Battle of the Five Armies when all parties had to come together to resolve the problems of chaos and evil. The narration ends when the problems have been resolved by the destruction of Evil. *The Hobbit* and *The Lord of the Rings* follow the same techno-economic scheme progression.

In *The Lord of the Rings* the Ring needs to be taken East to be destroyed. The quest begins by Gandalf presenting the conflict that the One Ring belongs to the ultimate evil. The story ends similarly to *The Hobbit*: the evil is destroyed, in this case by the destruction of the One Ring in Mount Doom. There are several battles fought from the time the Ring leaves the Shire to the when it is destroyed in Mordor. Warfare can have positive and negative effects on the production of technology and economic growth. Warfare drives the production of technology and increases economic development because of the need to produce weaponry and armor. However, the production of goods is costly and affects standards of living. Even though in *The Lord of the Rings*, the economy of Middle-earth is not reflected, it is evident that production of
goods is occurring to support the warfare (i.e. Saruman’s transformation of Isengard to breed super-soldiers and manufacture iron weaponry for his army).

There are a number of economic actions in *The Lord of the Rings*, including the Hobbits farming; Saruman’s production of iron weapons; the manufacturing of the Rings of Power; Dwarves crafting armor, weaponry, and trade goods (Tolkien 2001:92); and Elves reforging Narsil into Andúril (Tolkien 1954:343). These production of goods and services drives the actions in the narrative and creates an identity to those groups producing the goods.

Technology is important to the narrative; technology is what drives the actions in the myth. Lévi-Strauss includes magical objects in his techno-economic scheme because the use of these magical objects are what generates the action of the myth (Lévi-Strauss 1976:166-167). These technologies in *The Lord of the Rings* include Aragorn’s sword, Andúril; Bilbo’s and Frodo’s sword Sting; and the Rings of Power. Andúril is reforged from the shards of Narsil, the sword used by Isildur to cut the One Ring from Sauron’s hand. This sword symbolizes Aragorn’s heritage as the heir of Isildur and king of Gondor. From the time the sword is reforged at Rivendell, Andúril remains with Aragorn in every battle. Sting is an Elven-made blade that Bilbo finds in the Troll plunder (Tolkien 1937:41-49). Like all Elven blades, Sting glows when Orcs or Goblins are present (Tolkien 1937:66). The glowing of the sword serves as a warning to Bilbo and Frodo in several instances. In *The Hobbit*, Sting glowed in the Goblin caves. In *The Lord of the Rings* Bilbo gives Frodo Sting before the Fellowship heads out on their journey to Mordor (Tolkien 1954:344). Sting glows in Moria before they are attacked by Orcs, glows dimmly when the Orcs are near the Fellowship on the shores of the Great River, and in Mordor in Shelob’s lair (Tolkien 1954:401, 491; 1965:897). Bilbo threatens Gollum with Sting in the darkness of the goblin caves, Frodo uses Gollum’s fear of Sting as an advantage to tame him: “This is Sting.
You have seen it before once upon a time. Let go, or you’ll feel it this time! I’ll cut your throat’’ (Tolkien 1965:763). The purpose for manufacturing the Rings of Power is so that Sauron could deceive the peoples of Middle-earth, gain their trust, and to bring the Elves under his control through the One Ring he forges in secret (Tolkien 2001:287-288). The main powers of the Rings slow down an individual’s process of change (i.e. change over time), “the prevention of what is desired or loved,” and “enhanced the natural powers of the possessor,” which could make the wearer more susceptible to being corrupted into evil (Tolkien 2001:xix). The Rings are created and given to Men, Dwarves, and Elves to gain their trust. Sauron is successful in the control over the nine Men who become the Nazgûl, but fail to control the Elves and many of the Dwarves (Tolkien 2001:288-289). The Rings of Power are the main objects that drive the action in Tolkien’s myth and what continue the narrative from The Hobbit into The Lord of the Rings.

In his final scheme, global integration, Lévi-Strauss reduces myth into two categories to look at the myth as a whole: Initial State and Final State. He simplifies his oppositions into the most basic forms that can be used to further explain the meaning of the myth (Lévi-Strauss 1976:164). The Initial State indicates the state of danger and threat, which the world is in at the beginning of the tale. The Final State is the state of the world at the end of the tale after the defeat of evil and return to order and resolution. The figure shows the Initial and Final State categories. The axis represents the relationships between the oppositions in which the transformation from one state to the other takes place, as demonstrated in Figure 2.
<table>
<thead>
<tr>
<th>Initial State</th>
<th>Final State</th>
</tr>
</thead>
<tbody>
<tr>
<td>Ironworks</td>
<td>Nature</td>
</tr>
<tr>
<td>Black</td>
<td>White</td>
</tr>
<tr>
<td>West-East</td>
<td>East-West</td>
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<tr>
<td>Evil</td>
<td>Good</td>
</tr>
<tr>
<td>Conflict</td>
<td>Resolution</td>
</tr>
<tr>
<td>Male</td>
<td>Female</td>
</tr>
<tr>
<td>Death</td>
<td>Life</td>
</tr>
<tr>
<td>Dwarf/Elf conflict</td>
<td>Friendship</td>
</tr>
</tbody>
</table>

**Figure 2.** A demonstration of the global integration scheme.

The point of the schemes is to peel back the layers of the myth and expose the multiple, overlapping levels from a myth’s structure to understand the meaning in its most basic form. Although the above analysis does not follow exactly what Lévi-Strauss has presented in *The Story of Asdiwal*, the concepts the model presents to break down the structure of the myth proved that the model can be applied to Tolkien’s work.

The last model to discuss and apply to Tolkien’s work is Lévi-Strauss’s mediating structure. In this model there is an assumption that “two opposite terms with no intermediary always tend to be replaced by two terms which admit of a third one as a mediator; then one of the polar terms and the mediator become replaced by a new triad” (Lévi-Strauss 1963:224). This structure is continuously being reestablished and recreated by newly formed triads. In his example, Lévi-Strauss has three categories: Initial Pair, First Triad, and Second Triad. Beginning with the Initial Pair, one has two oppositions, which are replaced by another binary pair with a mediator admitted in the First Triad category. In the Second Triad, each of the polar oppositions is then replaced by another triad consisting of two oppositions with a mediator. This model
shows examples from the myth and how one can make sense of the meaning of the binary oppositions if one moves left to right or right to left when reading.

The mediating structure model can be applied to the willingness of Frodo to give up the One Ring. He does this three times until he discovers for himself that the destroying of the Ring is his burden alone and will ultimately end in his death. Figure 3 shows the only three individuals to whom Frodo willingly offers the Ring: Gandalf, Tom Bombadil, and Galadriel. The first tier is the categorical oppositions of life and death; the second tier is the three individuals; and the third tier is the description of where the individual came from, where they dwell in Middle-earth, and when they departed. This shows the relationship between the individuals and the same linear movement West to East movement from life to death. As demonstrated in Figure 3, there is a power of three, meaning that there are two categorically opposed figures with one liminal figure/being/event positioned between the categories. In this example, Tom Bombadil is the liminal figure positioned between Gandalf and Galadriel because he is the only individual who does not transform when the Ring is presented to him, the only one who does take the Ring. His origin is unknown; the only thing that is known is that he has been in Middle-earth since the beginning of time, and he remains on Middle-earth after the destruction of the Ring. Dwelling within Middle-earth represents the liminal period between one’s birth and one’s death. The leaving of Middle-earth when the Ring is destroyed and traveling to the Undying Lands is a symbolic death.
| Life | a. Arrives from the West from Valinor  
|     | b. Wanders in Middle-earth for hundreds of years  
|     | c. Leaves Middle-earth after the defeat of evil  
| 1. Gandalf | a. His arrival to Middle-earth is unknown  
|     | b. Lives in the Old Forest  
|     | c. Does not leave Middle-earth after the defeat of evil  
| 2. Tom Bombadil | a. Born in Valinor and travels to Middle-earth  
|     | b. Isolated in Lothlórien in Middle-earth  
|     | c. Leaves Middle-earth after the defeat of evil  
| 3. Galadriel | a. Born in Valinor and travels to Middle-earth  
|     | b. Isolated in Lothlórien in Middle-earth  
|     | c. Leaves Middle-earth after the defeat of evil  
| Death | 

**Figure 3.** A demonstration of the mediating structure model.

In both occurrences where Frodo willingly offers the One Ring to Gandalf and Galadriel, there is a transformation of the individual. As a result of the transformation, Gandalf and Galadriel realize that they cannot possess the power of the Ring because the Ring would transform them into beings like Sauron with great power and evil (Tolkien 1954:76, 77, 454). The denial of the Ring is a test and confirms that Gandalf and Galadriel must leave Middle-earth after the destruction of the evil. Gandalf and Galadriel are categorically opposed because of gender and race. The Elven races are the categorical opposition to the Men, Dwarves, and Hobbits. Tolkien makes this clear when he describes the Elves as the pure and perfect beings of Middle-earth (Tolkien 2001:xiv-xv). Both Galadriel and Gandalf emerge from the West, Valinor, and travel to Middle-earth. Galadriel was born in Valinor during the *Years of the Trees* and traveled to Middle-earth in the *First Age* (Tolkien 1980:230; 2001:61, 83, 84). Gandalf arrives at Middle-earth in the year 1000 of the *Third Age* and is a messenger of the Valar (Tolkien 1980:388, 389; 2001:299-300). Gandalf and Galadriel are opposites in several ways: Gandalf wanders while Galadriel remains isolated in Lothlórien (however, she does travel out of Lothlórien to attend Arwen’s and Aragorn’s wedding and travels with the Hobbits and Gandalf on their way back to the Shire) (Tolkien 1966:1212, 1216); Galadriel is married to another Elf,
Celeborn, and Gandalf remains single; Gandalf transforms and Galadriel remains unaffected; and Gandalf gets involved in the affairs of other while Galadriel does not.

Tom Bombadil is the mediator between Gandalf and Galadriel because he has been on Middle-earth since the beginning of time and little is known of his origin (Tolkien 1954:329). He asks Frodo for the Ring. When he puts the Ring on, neither the Ring nor Bombadil change and he does not become invisible. The power of the Ring seems to be neutralized in the presence of Bombadil (Tolkien 1954:165). He is neither Man nor Elf, but a little of both. Bombadil is a being with great power living in the Old Forest with his wife Goldberry, who is an Elf. Elrond states that he creates his own boundaries that he does not cross (Tolkien 1954:329). There is not much on his origin or how he came to be on Middle-earth. Tolkien does state that Bombadil symbolizes the vanishing countryside (Carpenter 2000:165).

In another example, Men are categorically opposed to Elves in which Gandalf can be seen as a mediator between the races. Gandalf is neither Man nor Elf, although he takes on the physical appearance of an old man: “clad in bodies of Men, real and not feigned, but subject to the fears and pains and weariness of earth, able to hunger and thirst and be slain; though because of their noble spirits they did not die, and aged only by the cares and labours of many long years. And this the Valar did, desiring to amend the errors of old” (Tolkien 1980:389). Elves are immortal beings while Men are mortal; Elves are pure while Men are easier to be corrupted; Elves are teachers while Men learn about the lore of the world and craft from the Elves; Elves are perfect and Men have flaws; and Elves have magical abilities that are tied to nature where Men do not innately possess magical abilities but are able to learn how to focus magic (Tolkien 2001:xiv-xv). Gandalf is a Wizard who is able to focus magical energy to produce magic;
involves himself in the affairs of both Men and Elves, but also befriends both races; and is immortal like the Elves but ages like Men.

Saruman can be seen as the mediator between white and black (Gandalf and Sauron). In the beginning of the tale, Saruman is known as Saruman the White, highest of the Wizard Order. He tries to use the influences of Sauron and his forces to get the Ring to satisfy his own greed and establish his authority over Middle-earth. He is not on the side of good or evil. Saruman transformed into a liminal character that is of multiple colors, neither White nor Black. Sauron and Gandalf are categorically opposed as binaries of good/evil, white/black, life/death. Gandalf and Sauron have both come back from a physical death and been transformed from one entity to another: Gandalf from grey to white after the battle with the Balrog; Sauron from physical form of a man to the form of an Eye after Isildur cut the Ring from his hand.

Another triad is the Frodo, Sam, and Gollum relationship. Although it seems unlikely that Frodo and Sam are categorically opposed, there are some aspects of their relationship that are in opposition. Frodo is an orphan while Sam still has his father; Sam is hard working and a gardener, while Frodo inherited a fortune from his uncle (who is also an orphan); Sam is a servant, Frodo is his master; and Frodo represents the figure that has to carry the burden of the world and Sam is the faithful follower. Gollum is the mediator between these two. He was once a Hobbit who was transformed physically and mentally into another creature by the will of the Ring. He, like Saruman, wants to have the power of the Ring to himself and plays both sides of the field to gain what he wants. When Bilbo acquires the Ring, Gollum travels to Mordor to find help in locating the Ring, only to be captured and tortured by Sauron who wants to use Gollum to find the Ring. On the opposing side, Gollum obeys Frodo’s command to take him into
Mordor, but wants a way to get the Ring back from the Hobbits. In both situations, Saruman and Gollum, the mediators are killed in the end by their greed to control of both power and authority.

Geographically, Middle-earth is the mediator between West, Valinor, and East, Mordor. Valinor and Mordor represent their own symbolic meanings of good/evil, white/black, light/darkness, East/West. From the beginning of time when the Valar arrived in Middle-earth, it has been the ground on which many of the battles between good and evil have been fought and important journeys take place. It is interesting to note that there is a reversal of creation from the West in the East. The creation of the Orcs in Mordor are an inversion of the Elves: “the Shadow that bred them can only mock, it cannot make: not real new things of its own” (Tolkien 1966:1138). From the West there comes birth and life and form the East is death and mockery of creatures. Middle-earth is the dwelling place for all the creatures that were born and bred from West and East.

From the above analysis, one can see that the purpose of structuralism is to understand the relations between and among binary oppositions. This relationship is best understood when one has broken down the construction of a myth to reveal its most basic structure. If Tolkien’s myth is compared to any other myth, there would be similarities within the structure. This reinforces Lévi-Strauss’s argument that cultures hold universal laws in their creation of myths. He states, in The Raw and the Cooked, “there is no real end to mythological analysis, no hidden unity to be grasped once the breaking-down process has been completed…the unity of the myth is never more than tendential and projective and cannot reflect a state or a particular moment of the myth. It is a phenomenon of the imagination, resulting from the attempt at interpretation…” (Lévi-Strauss 1964:5).
Lévi-Strauss insists that the purpose of myth is making an internal cultural contradiction appear to be resolved (Lévi-Strauss 1966:242-243; 1976:192-194). One can argue that Tolkien attempts to resolve a cultural contradiction within his work. During Tolkien’s lifetime, he saw through his experiences with the World Wars how temptation and power leads to corruption in the human race, i.e. the Central Powers of Germany and Austria-Hungary during the First World War and the Axis of Germany, Italy, and Japan during the Second World War (Carpenter 2000:80-94). Shippey states that like many other American and English writers, Tolkien was responding to the World Wars and this response is reflected in a fantastical narration (Shippey 2003:329). Although there were corrupted forces, we have to assume that Tolkien, being a Christian, was well aware of the uncorrupt forces in that not all men could be corrupted and resist temptation. One can argue that Tolkien tries to resolve the contradiction of corruption and temptation that he saw playing out in his reality by demonstrating in his work that there are uncorrupted individuals in the world who could resist temptation and it is these uncorrupted individuals who would bring order and peace to the world.

As demonstrated in the above analysis, Tolkien makes a clear distinction between good and evil. He also demonstrates the weakness of man when tempted with power. This is seen with Gollum, Isildur, Saruman, Boromir, and Denethor. Each of these individuals were tempted with the power of the One Ring, in which they consumed by the Ring’s will and power. Not only did the power corrupt these individuals, but it led to their death. Aragorn, Gandalf, Faramir, and Galadriel had the opportunity to possess the One Ring and its power, but chose not to.

Tolkien also saw that history repeats itself time and time again, a consistent contradiction in history (Shippey 2003:169). Tolkien served in the First World War and watched his sons go to the Second World War (Carpenter 2000: 80-93, 197, 200; Shippey 2003:169-170). As a
professor of Anglo-Saxon culture, he saw the same violent outbreak patterns of war throughout its history (Carpenter 2000:114). This pattern, as Tolkien saw it, is reflected in The Silmarillion. Each age in Middle-earth history is marked with a violent battle that results in the defeat of the evil forces and followed by a prolonged period of peace until evil begins to stir again to cause trouble. At the conclusion of The Lord of the Rings, the Third Age ends after Sauron’s defeat and the Fourth Age begins. Another example is how men are tempted and persuaded by the evil powers. The Men of Númenor fall after Sauron persuaded by Sauron to worship Morgoth which results in their demise from Middle-earth (Tolkien 2001:39, 53). The same observation can be made with Denethor who becomes a victim of Sauron’s persuasions and manipulations that ultimately results in his death (Tolkien 1966:1065).

If Lévi-Strauss is right, then the purpose of myth is to appear that an internal cultural contradiction has been resolved, than Tolkien has successfully created a myth to resolve the internal cultural contradictions that he believed to have existed (Lévi-Strauss 1966:242-243; 1976:192-194). This analysis also reveals Tolkien’s ability to be a myth-maker and that myths do not have to be anonymous, or collectively generated. Tolkien wanted to create a story that could be read and feel like a myth that existed in other cultures. Once his myth has been broken down, the elements familiar to all myths can be observed.
CHAPTER III

CONCLUSION

There are several points that this thesis addressed: first, that anthropological inquiry can expand across the borders of traditional anthropological study into the realm of fiction; second, fiction is riddled with ethnographical material; third, anthropological methods and theories can be successfully applied to fiction to define cultural terms that are specific to the fictional culture; and finally, popular fiction is modern mythology.

Throughout this thesis, I have provided evidence that anthropological inquiry can exceed the bounds of traditional studies (non-fictional cultures) by applying anthropological theories and methods to *The Lord of the Rings*. This study shows that other fictional works may be studied in the same fashion. Structuralism provides the theoretical framework to encompass all the elements of culture to understand the meanings of binary oppositions. These binary oppositions were extracted from the text to demonstrate the effectiveness of this method when it is applied to fiction in the same manner that it would be applied to non-fictional societies. Structural analysis reduces the units of culture into meaningful categories. From this analysis, one is able to recognize that the same binary oppositions of life/death, good/evil, chaos/order, and power/authority are all relationships that can be seen in non-fictional societies. Furthermore, examples from the text were coupled with each binary oppositional category used to illustrate that these categories exist within the text of *The Lord of the Rings*.

Tolkien denies that his mythology was analogous to any other mythology or that his personal experiences from childhood, war, and teaching at Oxford influenced his work. Tolkien states “I dislike Allegory-the conscious and intentional allegory” (Tolkien 2001:xiii). This analysis illustrates that Tolkien did draw from personal experiences from growing up in England,
the time he spent serving in World War I, and his teaching and researching of various cultures to make analogies, even if he was not aware he was doing so. The personal experiences not only help create Tolkien’s universe, but allows the reader to relate to the narration. Lévi-Strauss states that mythical thought “builds mental structures which facilitate an understanding of the world in as much as they resemble it. In this sense savage thought can be defined as analogical thought” (Lévi-Strauss 1966:263). Myth takes personal experiences and interpreted experiences into a form of communication that an audience can understand and relate to.

The relationship of power and authority was highlighted to demonstrate the importance of dual sovereignty within culture (Williamson 2003:13). Not only does dual sovereignty exist in a fictional culture, but anthropological theoretical concepts can be applied to fictional cultures produce similar results. Tolkien’s work provided evidence that the relationship of power and authority must remain equal to maintain order within a culture. Power is the ability to do, while authority tells what needs to be done. In many cultures, dual sovereignty may be separated into varying institutions or individuals, or one individual may be able to possess power and authority. However, it remains clear that power and authority is a balancing act that must remain stable to maintain order. If power and authority become unbalanced, the individual or culture may be thrown into chaos. Legitimacy is defined in Weber’s terms to understand how an individual becomes an authoritative figure and how to remain an authority. An authority only works when he or she has followers (Weber 1946:296-299; 1968:215).

Lévi-Strauss states that myth is a language that needs “to be known, myth has to be told; it is a part of human speech” (1955:430). Fiction is a language that is expressed through a written narration that preserves the story in time. Like myths, popular fiction is an integral part of culture that shapes and preserves aspects of culture inside of narration. Myths discuss events that have
supposedly reserved a place in time (Lévi-Strauss 1955:430). In the context of Tolkien’s work, Middle-earth was designed to have existed in a period before the modern, non-fictional present and as a tool for preservation of the cultural histories found in the historical text of the Red Book of Westmarch. Although the Red Book is itself a fictional text within a fictional story, the Red Book serves as a vessel to preserve the mythology of Middle-earth so that it can be translated to an audience.

Tolkien’s mythology has been preserved not only in the written form, but in film. Tolkien provides an audience with detailed descriptions of his world; it is the imagination of a film director who interprets the written form into a visual representation for an audience. As Lévi-Strauss stated, mythology exists through language and is preserved so long as the myth continues to be told (Lévi-Strauss 1955:430). Film and movies are another way of communicating Tolkien’s myth to a broader audience, an audience who does not need to read the books to relate to the story. This visual representation brings Tolkien’s work to life through a secondary and entertaining medium. It is evident through the production of films that Tolkien’s work continues to be prominent and significant in Western culture. Information has been added to and left out of the film adaptation which strengthens the argument that Tolkien’s work is being seen as myth because myths are passed on and changed over time to reflect cultural shifts. For example Arwen’s storyline as seen in the films, demonstrates a strong, free-thinking, independent woman, which appeals to a modern feminist audience. However, this thesis focuses on Tolkien’s original myth, rather than the film adaptations.

Tolkien’s goal was to create a myth for England, but he created a myth that has been woven into the tapestries of Western culture. This thesis provided evidence that fictional cultures function and have the same symbolic and cultural elements as a non-fictional culture. Fictional
works are riddled with ethnographic potential and anthropological theory can be applied to these works to extract meaning and cultural value. These modern mythologies are an integral part of culture because they are reinterpretations of an author’s experiences that have been portrayed in a new fashion for the entertainment of a reader. The modern mythologies continue to exist as long as there is an audience to read, interpret, and relate to the story.

Throughout this thesis, Tolkien’s personal experiences and interpretations of his culture have been referred to as his inspiration into the creation of his universe even if he was not fully aware he was doing so. Chapter One discusses a number of binary oppositions that were demonstrated to have cultural meaning within the context of The Hobbit and The Lord of the Rings. These oppositional pairings of male/female, good/evil, chaos/order, power/authority, etc. are pairings that can be found in several of cultures with similar symbolic and cultural meaning that Tolkien uses. The significance of extracting these oppositional pairings demonstrates that Tolkien understood his western culture and is able to reproduce his culture within the context of his own work. Tolkien’s ability to transform personal experiences and cultural meanings into something new that would excite readers further exemplifies his ability as a bricoleur. Some examples include: the tale of the Fall of the Númenor is an Atlantis-like tale (Carpenter 2000:173); the Baggins and Took families were fashioned after Tolkien’s mother’s family, the Suffield’s (Carpenter 2000:179); Bag End was his Aunt Jane’s Worcestershire farm nicknamed by the local people in Worcestershire (Carpenter 2000:180); the “Scoring of the Shire” chapter in The Return of the King is a reflection of the industrialization of England (Tolkien 1966: 1244-1272; Shippey 2003:171); the description of the Dead Marshes is a reflection of Tolkien’s experiences in trench warfare (Carpenter 2000:92-93); Tom Bombadil represents the vanishing English countryside (Carpenter 2000:165); an old farmer chased Tolkien for picking mushrooms
from his farm and this story is reflected in *The Fellowship* when Frodo was younger, he was chased by Farmer Maggot and his dogs for picking mushrooms from Maggot’s farm (Tolkien 1954:114); and the Finnish language was an inspiration for the Elven language (Carpenter 2000:67). These are just some examples of culture and personal experiences that inspired his work.

*Harry Potter, Star Trek, Star Wars, The Chronicles of Narnia,* and *His Dark Materials* are a few of the other fictional works where applying the method of structural analysis would prove to be just as instructive. Fictional works are modern mythologies that the non-fictional world can easily relate to and understand aspects of their culture through; modern mythologies allow cultural terms, values, and meanings to be communicated.
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Appendix A

Timeline of Events
The chronology constructed for this thesis comes from the information within the text of *The Hobbit* and *The Lord of the Rings*. This timeline is located at the conclusion of Appendix A. The information from these texts is then compared to the chronology provided by Tolkien in the *Appendices* concluding *The Return of the King*. There are many events that are not included in the chronology provided by Tolkien in the *Appendices*, but I have included what I thought to have been important additional events in my chronology (Tolkien 1966:1287-1412). This is because many of the events that are included in mine are subject to what I believe to be important events within the narrative. My goal is to capture the major events within the narrative on a timeline to not only provide the reader with a summarized version of the series, but to express that Tolkien took great consideration in the construction of his world with dates and events to make the world more relatable to the reader.

Within the series there are four segments of time: *First Age*, *Second Age*, *Third Age*, and *Fourth Age*. The chronology that is provided is focused on the *Third Age*, because *The Lord of the Rings* series takes place during this timeframe, but I will briefly summarize the first two ages from when they began and ended. The *First Age* begins with the awakening of Elves and Men and ends with the Great Battle, the War of Wrath, that overthrew Morgoth (Tolkien 2001:47-54, 251-255). Morgoth (originally Melkor) was the most powerful of the Ainur (immortal spirits), those who came to shape and create Middle-earth before the awakening of the Elves (Tolkien 2001:20-22, 31). The immortal spirits became known as the Valar (Tolkien 2001:20). Melkor turned to darkness and was renamed Morgoth, becoming the principal antagonist of *The Silmarillion* (Tolkien 2001:31). Sauron had betrayed his own kind, the Maiar (lesser spirits of creation), and became Morgoth’s principal lieutenant in Mordor (Tolkien 2001:31-32).
The *Second Age* includes the glory years of the Númenor. The Númenor was a race of powerful Men who had prolonged lives. The Númenor defeated Sauron with their military force. Sauron realized he could not defeat the Númenor, so he allowed himself to become a prisoner when the Númenor attacked Mordor a second time. While Sauron was a prisoner, he used his ability to deceive to convince the Númenor to worship Morgoth and he was able to persuade King Ar-Pharazôn to betray the Valar and besiege them. As a result, Manwë, King of the Valar, called upon Ilúvatar to punish the Númenor by flooding the island and killing all but a few survivors, the Faithful. The Faithful traveled to Middle-earth and established the two great cities of Gondor and Arnor. The island was engulfed in water and the land of Valinor retreated into the sea. Sauron retreated back to Mordor. (Tolkien 2001:267-281).

After the fall of Númenor, Sauron deceives the Noldor, Elves of the Second Clan who traveled from Valinor to Middle-earth (Tolkien 2001:39, 53), Sauron used his powers of deception to convince the Noldor King, Gil-galad, to oversee the manufacturing of the Rings of Power (Tolkien 2001:287). His goal was to gain the trust of the Men, Dwarves, and Elves to rule over them. Of these Rings, nine were given to Men, seven to the Dwarves, and three to the Elves. With the knowledge that he had of the Rings of Power, Sauron forged the Ruling Ring in secret. With this Ring, Sauron could find the other Rings of Power and perceive the thoughts of the wearers. Once Sauron put his Ring on, the Elves knew of Sauron and his plans. They took off their Rings and hid them. However, Sauron was successful in corrupting the nine Men and they became his servants, the Nazgûl. With Sauron’s plans discovered, Men and the Elves went to war against Sauron and Mordor. This age ends with the Battle of Dagorlad, the defeat of Sauron, who loses his physical form, and the taking of the One Ring by Isildur (Tolkien 2001:287-300).
The Second Age ends with the downfall of Sauron, when he is defeated by the Last Alliance of Elves and Men (Tolkien 2001:292-294).

The Third Age is the time in which The Lord of the Rings series takes place; it is also known as the fading years of Elves. The Fading Years of the Eldar is the ending of the time of Elves and rising of the age of Men into the Fourth Age (Tolkien 1966:1284-5). Magic is more prominent in The Hobbit and in The Fellowship of the Ring, but as the series goes on, the mention and use of magic fades and becomes nearly non-existent by The Return of the King. As the time of the Elves fades, so does the use of magic.

According to the Shire Reckoning (S.R.), the Shire was founded in the year 601 of the Third Age (Tolkien 1954:5). According to Appendix D (Tolkien 1966:1373-4), the Shire months are the same as present day; twelve months (January - December) and the days of the week are the same as well (Monday-Sunday), however, all months have thirty days (Tolkien 1966:1375). The Gondor calendar is also 12 months, however, only 10 of the 12 months have 30 days and two months have 31 days (Tolkien 1966:1373-4). Tolkien states that the Shire Reckoning dates are the only ones that are important for the narration of The Lord of the Rings (Tolkien 1966, 1379). Based on this information and some of the in-text specific dates, I was able to construct a timeline that begins April 21, 1341 and ends September 29, 1421 of the Shire Reckoning and 2941-3021 of the Gondor records. The events all take place during the Third Age until September 29, 3021 (1421 S.R.). The timeline consists of both the Gondor record years with the corresponding Shire Reckoning years, with the Gondor record year referenced first and the Shire Reckoning year underneath. Not all of the events are accounted for due to the lack of information, but the events that are not listed with a specific date in the timeline fall between specific dates with the event category.
Table categories are the dates (year, month, and day) within the text, the event, and the sources where the event is referenced within the texts. Dates are approximate according to the in-text information. However, there are some uncertainties as to when a few of the events took place, but it is known that these events took place on a certain number of days (i.e. travel time between locations, or if travel took three days to reach point B from point A). These are indicated with a question mark at the end of the month and date. Abbreviations that are used within the constructed timeline in the sources and references category include the following: The Hobbit - Hobbit, Fellowship of the Ring - FTR, Two Towers - TT, and Return of the King - RT. These sources also include the page numbers in which the specific event was referenced providing a further example of how Tolkien expressed the flow of time within the narrative.

The timeline reflects the extensive research within The Hobbit and Lord of the Rings series; with secondary sources of the Appendices located at the end of The Return of the King and The Silmarillion. This timeline serves as an example of how practical application of historical documentation can be used to reconstruct events of a cultural history within a fictional setting. The timeline in Appendix B (Tolkien 1966) traces events from the Second Age to the Fourth Age; however the timeline that has been constructed for this research and only reflects the events that specifically take place within the text itself (1344-64).

Time throughout the series overlaps in which the narrative will jump from the perspective of one individual to another. For example in The Lord of the Rings, the perspective begins to change when Frodo and Sam depart for Mordor while Legolas, Gimli and Aragorn set forth to Rohan (Tolkien 1954:502-506). The narration will follow Sam and Frodo for a specific amount of time and then switch to Aragorn, Legolas, and Gimli. This change in narrative perspectives makes it difficult to determine when events took place at similar times. There are many specific
dates recorded in the text, many of the other dates are rough estimates based on how long individuals traveled and when an individual left and arrived at a certain location. Many of these dates correspond with the timeline Tolkien constructed in his *Appendix B* (Tolkien 1966:1344-64). However, my timeline consists of events that were not listed in Tolkien’s timeline because I decided that these events were important and should be included.
<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
<th>Reference/Source</th>
</tr>
</thead>
<tbody>
<tr>
<td>2841 April 21</td>
<td>Thrian left and gave Gandalf Map and Key</td>
<td>Hobbit (24)</td>
</tr>
<tr>
<td>SR. 1241</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2941 April 25</td>
<td>Gandalf approaches Bilbo and leaves the mark on his door for the Company of Dwarves to find</td>
<td>Hobbit (22-23)</td>
</tr>
<tr>
<td>S.R. 1341</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2941 April 26(?)</td>
<td>Merry Gathering at Bag-End</td>
<td>Hobbit (24)</td>
</tr>
<tr>
<td>S.R. 1341</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2941 April 27</td>
<td>Bilbo Leaves on his adventure</td>
<td>Hobbit (27)</td>
</tr>
<tr>
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<td></td>
<td></td>
</tr>
<tr>
<td>2941 June 1</td>
<td>Arrived to Rivendell and Elrond reads the Moon Runes on Thorin's map</td>
<td>Hobbit (47)</td>
</tr>
<tr>
<td>Mid-summer Eve</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2941 August (?)</td>
<td>Arrived in Lake-town</td>
<td>Hobbit (184-5)</td>
</tr>
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<td></td>
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<tr>
<td>2941 September 1</td>
<td>Bilbo enters the Mountain a second time and encounters Smaug</td>
<td>Hobbit (203-5)</td>
</tr>
<tr>
<td></td>
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</tr>
<tr>
<td>2941 September 2 (?)</td>
<td>Smaug smashing the Secret Door and destroys Lake-town. Smaug is killed by Bard</td>
<td>Hobbit (229)</td>
</tr>
<tr>
<td></td>
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<td></td>
</tr>
<tr>
<td>2941 September 7(?)</td>
<td>Thranduil and Elves head to Lake-town after hearing the death of Smaug</td>
<td>Hobbit (233)</td>
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<td></td>
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<td></td>
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<tr>
<td>2941 September 13</td>
<td>Bard and Men, and Elves march towards the Lonely Mountain</td>
<td>Hobbit (233)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
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<tr>
<td>End of September - November</td>
<td>Battle of the 5 Armies</td>
<td>Hobbit (235-255)</td>
</tr>
<tr>
<td></td>
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<tr>
<td>Mid-winter 2941-2</td>
<td>Bilbo and Gandalf stay with Beorn until the Spring</td>
<td>Hobbit (267-8)</td>
</tr>
<tr>
<td>S.R. 1341-2</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2942 May 1</td>
<td>Gandalf and Bilbo arrive to Rivendell</td>
<td>Hobbit (269)</td>
</tr>
<tr>
<td>S.R. 1342</td>
<td></td>
<td></td>
</tr>
<tr>
<td>2942 June 22</td>
<td>Bilbo arrives back home to Bag-End</td>
<td>Hobbit (274)</td>
</tr>
<tr>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>2949 Autumn</td>
<td>Gandalf and Balin visit Bilbo in the Shire</td>
<td>Appendix B (1354),</td>
</tr>
<tr>
<td>S.R. 1349</td>
<td></td>
<td>Hobbit (275)</td>
</tr>
<tr>
<td>Date and Time</td>
<td>Event</td>
<td>Reference/Source</td>
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<td>---------------</td>
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</tr>
<tr>
<td>3001 September 21 S.R. 1401</td>
<td>Gandalf arrives to Bag-End</td>
<td>FTR (30)</td>
</tr>
<tr>
<td>3001 September 22 (Thursday) S.R. 1401</td>
<td>Bilbo's 111th Birthday Celebration, Frodo's 33rd birthday, Bilbo disappears due to the Ring and leaves the Shire</td>
<td>Appendix B (1355), FTR (26)</td>
</tr>
<tr>
<td>3004 S.R. 1404</td>
<td>Gandalf visited Frodo and in intervals after</td>
<td>FTR (57)</td>
</tr>
<tr>
<td>3008 Autumn S.R. 1408</td>
<td>Gandalf visits Frodo one last time for about 10 years</td>
<td>FTR (57)</td>
</tr>
<tr>
<td>April 12 3018 S.R. 1418</td>
<td>Gandalf visits Frodo and tells him of the Ring and what he has found out about the Ring</td>
<td>Appendix B (1355), FTR (57)</td>
</tr>
<tr>
<td>3018 May 1 S.R. 1418</td>
<td>Strider and Gandalf meet at Sarn Ford</td>
<td>FTR (215)</td>
</tr>
<tr>
<td>3018 End of June</td>
<td>Gandalf leaves the Shire and Frodo makes arrangements to leave</td>
<td>FTR (83)</td>
</tr>
<tr>
<td>3018 September 23</td>
<td>Frodo leaves Bag-End to go to Crickhollow with Sam and Pippin. A Black Rider had visited the Shire</td>
<td>FTR (85, 94)</td>
</tr>
<tr>
<td>3018 September 24</td>
<td>The Hobbits encounter the Nazgûl near Woody End. Chanting of approaching elves scare them away. Meet Gildor and the High Elves and camp with them during the night.</td>
<td>FTR (97-100)</td>
</tr>
<tr>
<td>3018 September 25</td>
<td>Hobbits reach Crickhollow and discover the conspiracy</td>
<td>FTR (130-2)</td>
</tr>
<tr>
<td>3018 September 26</td>
<td>Hobbits enter the Old Forest, captured by Old Man Willow, rescued by Tom Bombadil, and stayed with Tom</td>
<td>FTR (137, 147-150)</td>
</tr>
<tr>
<td>3018 September 27</td>
<td>Frodo wears the Ring for the first time at Tom's house</td>
<td>FTR (165-6)</td>
</tr>
<tr>
<td>3018 September 29</td>
<td>Hobbits reach Bree and the Prancing Pony. Meet Strider</td>
<td>Appendix B (1356), FTR (186-190, 196)</td>
</tr>
<tr>
<td>3018 September 30</td>
<td>Hobbit leave Bree Black Riders raid Prancing Pony</td>
<td>Appendix B (1356), FTR (220-1)</td>
</tr>
<tr>
<td>3018 October 3</td>
<td>Gandalf arrived at Weathertop and left a sign for Aragorn</td>
<td>FTR (234)</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
<td>Source(s)</td>
</tr>
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</tr>
<tr>
<td>3018 October 6</td>
<td>Reached Weathertop and camped that night. Black Riders attacked camp. Frodo was stabbed with a Morgul Blade of the Witch King.</td>
<td>FTR (231,245, 263, 275)</td>
</tr>
<tr>
<td>3018 October 9</td>
<td>Glorfindel left Rivendell</td>
<td>FTR (262)</td>
</tr>
<tr>
<td>3018 October 20</td>
<td>Escape across the Ford of Bruinen</td>
<td>Appendix B (1356), FTR (274)</td>
</tr>
<tr>
<td>3018 October 24</td>
<td>Frodo wakes up in Rivendell. Gandalf is there.</td>
<td>FTR (272,274)</td>
</tr>
<tr>
<td>3018 October 29</td>
<td>Council of Elrond</td>
<td>FTR (296)</td>
</tr>
<tr>
<td>3018 December 18</td>
<td>Fellowship of the Ring members are chosen</td>
<td>FTR (342-343)</td>
</tr>
<tr>
<td>3018 December 25</td>
<td>Fellowship of the Ring leaves Rivendell</td>
<td>Appendix B (1357), FTR (346)</td>
</tr>
<tr>
<td><strong>YEAR 3019 of the Third Age</strong></td>
<td></td>
<td></td>
</tr>
<tr>
<td>3019 January 12</td>
<td>Fellowship tries to cross the Pass of Caradhras, but there is a snowstorm</td>
<td>FTR (360)</td>
</tr>
<tr>
<td>S.R. 1419</td>
<td></td>
<td></td>
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<tr>
<td>3019 January 13</td>
<td>Attacked by Wolves, reached the Gates of Moria</td>
<td>FTR (370-371, 378-9)</td>
</tr>
<tr>
<td>3019 January 14</td>
<td>Spent the night in Hall Twenty-one</td>
<td>Appendix B (1357), FTR (401)</td>
</tr>
<tr>
<td>3019 January 15</td>
<td>The Bridge of Khazad-dûm</td>
<td>Appendix B (1357) FTR (409,410, 419)</td>
</tr>
<tr>
<td></td>
<td>Fall of Gandalf</td>
<td></td>
</tr>
<tr>
<td></td>
<td>Fellowship reaches Nimrodel</td>
<td></td>
</tr>
<tr>
<td>3019 January 17</td>
<td>Arrives to Caras Galadhon</td>
<td>Appendix B (1357), FTR (438)</td>
</tr>
<tr>
<td>3019 February 16</td>
<td>Fellowship leave Lórien</td>
<td>Appendix B (1357), FTR (468-9)</td>
</tr>
<tr>
<td>3019 February 23</td>
<td>Attacked near Sarn Gebir by Orcs</td>
<td>FTR (478, 480)</td>
</tr>
<tr>
<td>3019 February 25</td>
<td>Passes through Argonath</td>
<td>FTR (488-9, 490)</td>
</tr>
<tr>
<td>3019 February 26</td>
<td>Breaking of the Fellowship Death of Boromir. Pipin and Merry were taken by Orcs. Frodo and Sam leave alone. Horn of Boromir is heard in Minas Tirith. Boat with Boromir's body washed ashore.</td>
<td>FTR (500-1) TT (512, 699, 828, 828)</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
<td>Pages</td>
</tr>
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<td>-----------</td>
<td>----------------------------------------------------------------------</td>
<td>----------------------------------------------------------------------</td>
</tr>
<tr>
<td>3019 Feb 29</td>
<td>Rohirrim attack the band of Orcs. Merry and Pippin escape into Fangorn forest and meet Treebeard.</td>
<td>Appendix B (1358) TT (543,549, 562,574, 699-670)</td>
</tr>
<tr>
<td>3019 Mar 1</td>
<td>Aragorn, Legalos, Gimli meet Gandalf the White. Frodo and Sam reach the Dead Marshes.</td>
<td>TT (612-615, 749, 769, 771)</td>
</tr>
<tr>
<td>3019 Mar 2</td>
<td>Arrive at Rohan and Gandalf saves Théoden. Ents attack Isengard. Frodo, Sam, Gollum reach end of marshes.</td>
<td>TT (628, 639, 700, 779, 785)</td>
</tr>
<tr>
<td>3019 Mar 3</td>
<td>Théoden retreats to Helm’s Deep. Battle of Hornburg.</td>
<td>TT (653-6,660-673)</td>
</tr>
<tr>
<td>3019 Mar 6</td>
<td>Théoden leaves for Harrowdale.</td>
<td>RK (975)</td>
</tr>
<tr>
<td>3019 Mar 7</td>
<td>Frodo and Sam are taken by Faramir. Aragorn, Gimli, Legolas arrive at Dunharrow.</td>
<td>TT (817, 824-5) RK (979)</td>
</tr>
<tr>
<td>3019 Mar 8</td>
<td>Frodo, Sam, and Gollum leave Henneth Annûn for Cirith Ungol.</td>
<td>TT (859-864)</td>
</tr>
<tr>
<td>3019 Mar 9</td>
<td>Gandalf and Pippin reach Minas Tirith. Meet with Denethor. Aragorn, Gimli, Legolas arrive at Erech to summon the Dead.</td>
<td>Appendix B (1358) RK (934-5, 938, 981)</td>
</tr>
<tr>
<td>3019 Mar 10</td>
<td>Muster of Rohan - ride from Harrowdale. Gandalf saves Faramir and he tells Gandalf where Frodo is heading.</td>
<td>RK (987, 1008-9)</td>
</tr>
<tr>
<td>3019 Mar 11</td>
<td>Faramir departs for Osgiliath.</td>
<td>RK (1015-7)</td>
</tr>
<tr>
<td>3019 Mar 12</td>
<td>Gollum leads Frodo and Sam to Shelob's Lair. Frodo gets wounded by Shelob.</td>
<td>Appendix B (1359) TT (900-904)</td>
</tr>
<tr>
<td>3019 Mar 13</td>
<td>Sam thinks Frodo is dead. Frodo is captured by the Orcs. Faramir is wounded.</td>
<td>Appendix B (1359) TT (913-6, 922) RK 1020-1</td>
</tr>
<tr>
<td>3019 Mar 14</td>
<td>Gondor is besieged. Sam finds Frodo in tower.</td>
<td>RK (1029, 1133)</td>
</tr>
<tr>
<td>Date</td>
<td>Event</td>
<td>Source(s)</td>
</tr>
<tr>
<td>--------------</td>
<td>----------------------------------------------------------------------</td>
<td>-------------------</td>
</tr>
<tr>
<td>3019 March 15</td>
<td>Battle of Pelennor&lt;br&gt;Aragorn arrives&lt;br&gt;Théoden dies</td>
<td>RK (1046-1058, 1069)</td>
</tr>
<tr>
<td>3019 March 16</td>
<td>Debate of commanders to go to the Gate of Mordor with many armies</td>
<td>RK (1086, 1098)</td>
</tr>
<tr>
<td>3019 March 18</td>
<td>Host of West march from Minas Tirith towards the Gate of Mordor</td>
<td>RK (1110)</td>
</tr>
<tr>
<td>3019 March 19</td>
<td>Host of West come to Morgual Vale.&lt;br&gt;Frodo and Sam escape the Tower</td>
<td>RK (1103, 1105, 1140)</td>
</tr>
<tr>
<td>3019 March 24</td>
<td>Host of West camps in Desolation of the Morannon&lt;br&gt;Frodo and Sam climb Mount Doom</td>
<td>Appendix B (1359)&lt;br&gt;RK (1105, 1163-4)</td>
</tr>
<tr>
<td>3019 March 25</td>
<td>Came to the Black gates of Mordor.&lt;br&gt;Surrounded by the armies of Sauron.&lt;br&gt;Sam and Frodo reach Sammath Naur.&lt;br&gt;Gollum attack, bite off Frodo's finger to get the ring, and fell into Mount Doom.&lt;br&gt;Destruction of the Ring.&lt;br&gt;Sauron defeated</td>
<td>RK (1105, 1112, 1173-4, 1176-1180, 1186)</td>
</tr>
<tr>
<td>3019 April 8</td>
<td>Frodo and Sam wake up in Minas Tirith&lt;br&gt;Hobbits were honored</td>
<td>RK (1186)</td>
</tr>
<tr>
<td>3019 May 1</td>
<td>Aragorn was crowned King&lt;br&gt;Faramir becomes Steward of Gondor</td>
<td>RK (1193, 1195)</td>
</tr>
<tr>
<td>3019 May 8</td>
<td>Éomer and Éowyn leave Rohan with sons of Elrond</td>
<td>RK (1209)</td>
</tr>
<tr>
<td>3019 June/Mid-Year Day/Midsummer</td>
<td>Aragorn and Arwen are married in Minas Tirith</td>
<td>RK (1212-3)</td>
</tr>
<tr>
<td>3019 September 22</td>
<td>Gandalf and Hobbits celebrate Bilbo's Birthday in Rivendell</td>
<td>RK (1229)</td>
</tr>
<tr>
<td>3019 October 5</td>
<td>Leave Rivendell</td>
<td>RK (1232)</td>
</tr>
<tr>
<td>3019 October 6</td>
<td>Crossed Ford of Bruinen, Frodo felt the first pain of returning home</td>
<td>RK (1233)</td>
</tr>
<tr>
<td>3019 November</td>
<td>When they returned to the Shire</td>
<td>RK (1244)</td>
</tr>
</tbody>
</table>

*Later Years of the Third Age*

<table>
<thead>
<tr>
<th>Date</th>
<th>Event</th>
<th>Source(s)</th>
</tr>
</thead>
<tbody>
<tr>
<td>3020 Spring S.R. 1420</td>
<td>Sam and Rosie get married</td>
<td>RK (1278)</td>
</tr>
<tr>
<td>3020 March 13</td>
<td>Frodo becomes ill</td>
<td>RK (1278)</td>
</tr>
<tr>
<td>3020 October 6</td>
<td>Frodo is ill again</td>
<td>RK (1279)</td>
</tr>
<tr>
<td>3021 March 13 S.R. 1421</td>
<td>Frodo becomes ill</td>
<td>RK (1279)</td>
</tr>
<tr>
<td>3021 March 25</td>
<td>Sam and Rosie’s first child is born</td>
<td>RK (1279)</td>
</tr>
<tr>
<td>S.R. 1421</td>
<td></td>
<td></td>
</tr>
<tr>
<td>-----------------</td>
<td>-----------------------------------------------------------------</td>
<td>-----------------------------------------------------------------</td>
</tr>
<tr>
<td>3021 September 21</td>
<td>Frodo and Sam leave the Shire</td>
<td>RK (1281)</td>
</tr>
<tr>
<td>3021 September 22</td>
<td>They meet up with the last Keepers of the Ring -Elrond, Galadriel - and Bilbo and Gandalf</td>
<td>RK (1238)</td>
</tr>
<tr>
<td>3021 September 29 S.R. 1421</td>
<td>Depart from the Grey Haven Elrond, Galadriel, Bilbo, Frodo, Gandalf End of the <em>Third Age</em></td>
<td>Appendix B (1362)</td>
</tr>
<tr>
<td></td>
<td></td>
<td>RK (1284-5)</td>
</tr>
</tbody>
</table>
Appendix B

Ethnographic Census
An ethnographic census was constructed to show relationships and the cultural histories of the main individuals of the series. This census is another demonstration of applying anthropological methods to fiction to provide the reader a sense that ethnography was conducted to provide a demographic foundation. The census is in a table form to provide the reader a visual reference of the information that is provided.

The races that are included in this census are: Men (Gandalf, Saruman, Radagast, Aragon, Boromir, Faramir, Théoden, Éowyn, Êomer, Denethor, and Grima Wormtongue), Elves (Elrond, Celebrian, Elladan, Elrohir, Arwen, Galadriel, Celeborn, and Legolas), Hobbits (Bilbo, Frodo, Samwise, Merry, Pippin, and Gollum), Dwarves (Gimli, Thorin Oakenshield, Fíli, Kíli, Balin, Dwalin, Óin, Glóin, Dori, Nori, Ori, Bifur, Bofur, and Bombur), Sauron, Smaug the Dragon, and Treebeard, the Ent. These individuals are the most common characters within the narration of the series. Gandalf, Radagast, and Saruman are included with Men due to the fact that during most of their life within the series they are tied to similar characteristics that describe Men and they are sometimes referred to as Men. At the end of *The Silmarillion*, Gandalf, Radagast, and Saruman are revealed as Istair, messengers of the Valar, who arrive from the West (Tolkien 1980:388-289; 2001:300). This knowledge does not take away from the narration within *The Hobbit* and *The Lord of the Rings*, as Gandalf, Radagast, and Saruman are most commonly characterized as part of the race of Men. For that reason, in this thesis Gandalf, Radagast, and Saruman will be referred to as part of the race of Men who wield power and magic, as Wizards.

The constructed census includes the following categories: name, race, age, sex, married to, place of birth of individual, place of birth of mother, place of birth of father, current residence, primary language, and occupation. The ages are calculated from dates that appear to be birth dates within the text and are estimates of age when *The Lord of the Rings* series takes
place according to the Gondor record years (3018-3019). The Gondor Record years will be used because it is recognized by all the races, whereas the Shire Reckoning is specific to the Hobbits in the Shire.

*The Hobbit* and *The Lord of the Rings* take place in the *Third Age*, the Men and Hobbits are all born in the *Third Age*, and many of the Elves were born in either the *Second Age* or *The Years of the Trees*. *The Years of the Trees* is referenced in *The Silmarillion*, these are the years before the sun was cast into the sky and the Age of Men awoke (Tolkien 2001:103). In the *First Age* there are approximately 590 years, 3,441 years in *Second Age* (SA), and 3,021 in the *Third Age* (TA); each age begins with Year 1 and each age ends with a battle that destroys evil (Tolkien 1966:1345-64). The following sections are detailed descriptions of the constructed census of the individuals mentioned above. All ages are roughly estimated calculations from dates that are extracted from the text.

**The Elves**

*The Silmarillion* has many of the birth years of the Elves. Their approximate ages are calculated with the *Third Age* years of 3018-3019, by adding the years from the time of their birth and the following Ages until 3018 of the *Third Age*.

Galadriel is a full blooded Elf born in Valinor around the year 1302 *Years of the Tree* (YT), and she left Middle-earth in TA 3021, making her over 7,000 years old (Tolkien 1980:229230; 2001:61). Her husband, Celeborn, is about 6,600 years old and resided in Doriath until he married Galadriel and moved to Lórien (Tolkien 1980; 2001:114-115, 234, 254). It is unclear when and where Celeborn was born. However, *The Silmarillion* and *Unfinished Tales* indication he was born in Arda (Middle-earth) after Galadriel and it is based on this evidence that his age is estimated (Tolkien 1980:228, 233; 2001:115).
Celeborn and Galadriel's daughter, Celebrian, was born around SA400 (Tolkien 1980:234). She was born over 500 years after the marriage of Galadriel and Celeborn making her approximately 6,000 years old (Tolkien 1980:234). She is also the wife of Elrond, who is the Half-Elven Lord of Rivendell (Tolkien 1980:240, 244). He is about 6,517 years old. Elrond was born the year 532 of the First Age and he left Middle-earth in TA 3021 (Tolkien 2001:105, 246). Celebrian and Elrond had twin sons named Elladan and Elrohir, who were born in the year TA130 (Tolkien 1966:1349). The twins were approximately 2,889 years old in the year 3019. It is uncertain what became of them after the defeat of Sauron. Elrond and Celebrian’s daughter, Arwen, was born in TA241 and died in FoA121 (Tolkien 1966:1299, 1349). She was about 2,777 years old during the Third Age years of 3018-19. Legolas was the most difficult individual to calculate because he does not appear in the text until The Fellowship of the Ring. His age is approximated to be between 1,000-2,000 years old because it would be the average age of young elves that were possibly born in the Third Age. It is unclear when he was born, but it is interpreted from the texts that he was born in the Third Age. Legolas is mentioned to have left Middle-earth to sail across the Sea to the Grey Havens, with Gimli, in the year 1541 (Tolkien 1966:1364).

There are three locations within Middle-earth in which these selected Elves reside. Legolas is from Mirkwood of the Woodland Realm, Galadriel and Celeborn reside in Lórien, Elrond, Celebrian, Elladan, and Elrohir reside in Rivendell, and Arwen has resided in both Lórien and Rivendell until she married Aragorn and resided in Minas Tirith. Each of these individuals speaks a form of Elvish known as Sindar; however, the Elves also have knowledge of several other languages that include Common Speech, Dwarvish, and ancient Middle-earth languages (Black Speech, Ancient Dwarvish, and Quenya).
The Hobbits

Due to the texts being works of Bilbo’s, he incorporated the exact years of the Hobbits' birth. *Fellowship of the Ring* opens up with Bilbo's 111\textsuperscript{th} birthday, which calculates to him being born in the TA2890 (Tolkien 1954:26; 1966:1353). Frodo was born the same day as Bilbo, on September 22, but he was born in the year TA2968, making him 50 years old at the start of his adventure (Tolkien 1966:1366).

Bilbo mentions his and Frodo's ages within the text of *The Hobbit* and *Fellowship*. Samwise, Pippin, and Merry’s birth years are included in the *Family Tree* section in the appendices concluding *The Return of the King* (Tolkien 1966:1366-1371). Samwise was born in the year 2980 and is about 38 years old, Merry was born in the year 2982 and he was about 36, and Pippin was born 2990 and was about 28 years old (Tolkien 1966:1366-1371). Gollum’s age and date of birth was difficult to calculate due to the information not being included in the text. However, it is known that his life was extended beyond the average length for a Hobbit. Bilbo also lives an unnaturally long life due to the power of the One Ring.

All of the Hobbits were born and reside in the Shire; Bilbo is the only individual who moves to Rivendell, until the year 3021 when he leaves Middle-earth. The Hobbits’ shared language is Common Speech which is also spoken by Elves, Dwarves, and Men. Tolkien also states that Bilbo's *Red Book of Westmarch* is written in Common Speech, which was later, according to Tolkien, turned into the modern English language (Tolkien 1966:1398).

The Men

There are many Men who are mentioned in the series. The Men that I have portrayed in this census are the Men who are continuously mentioned and have information available within the text. All Men were born in the *Third Age* of Middle-earth. This census includes one female
of the Men, Éowyn the sister-daughter of King Théoden, who is about 23 years old and was born in the year 2995 (Tolkien 1966:1331, 1355). Éowyn’s older brother, Éomer, was born in the year 2991, became a Marshal of Mark, and took the throne of Rohan after the death of Théoden (Tolkien 1966:1331, 1332). Théoden, King of Rohan, was 70 years old at the time of his death in 3019 from battle and he was born in the year 2948 (Tolkien 1966:1331). Denethor II, the Steward of Gondor, was born in the year 2929 and died at the age of 90 in the year 3019 (Tolkien 1966:1065, 1314). Boromir was born to the Steward of Gondor, Denethor II, in the year 2978 (Tolkien 1966:1354). He was 40 years old when the Fellowship was created and when he died from an Orc invasion (Tolkien 1965:512). Boromir's brother, Faramir, was born five years later in the year 2983, and he was 35 years old (Tolkien 1966:1354). The only information that is provided for Grima Wormtongue is that he was the councilor to Théoden and spy for Saruman, and he was killed in the year 3019 in the Shire (Tolkien 1966:1272). Bard’s age is unclear because the year of his birth is not within the text. He is described as an old man with a grim voice who became King of Dale after the Battle of the Five Armies and rebuilding Dale in 2944 (Tolkien 1966:1354).

Aragorn was born in the year 2931 and was approximately 87 years old during the years 3018-19 (Tolkien 1966:1353). He lived to the year 1541 of the Fourth Age (Tolkien 1966:1364). Gandalf, Radagast, and Saruman have shared characteristics of Men, but are Wizards or Istari whom Tolkien places in Middle-earth around the year 1000 in the Second Age before the first battle and first defeat of Sauron (Tolkien 1966:1348; 1980:388, 390). I have not been able to calculate an age for Gandalf, Radagast, or Saruman due to the lack of information provided in the texts, but they are well over 1000 years of age. Saruman was killed by Grima Wormtongue in the Shire in the year 3019 of the Third Age (Tolkien 1966:1271-2). In 3021, Gandalf departed
from Middle-earth to the Undying Lands with Elrond, Galadriel, Bilbo, and Frodo (Tolkien 1966:1285). It is uncertain as to what happened to Radagast during the War against Sauron and after.

Théoden, Éomer, Éowyn, and Grima were born in Rohan and resided in Rohan, whereas Denethor, Boromir and Faramir were both born in Minas Tirith and resided in that location as well. It was unclear where Aragorn was born, but I am assuming it was near Rivendell.

According to the *Annals of the King and Rulers*, Aragorn resided in Rivendell most of his childhood, but his adulthood was spent being nomadic until he was crowned the King of Gondor and wedded Arwen (Tolkien 1966:1316). Aragon resided and lived out the rest of his life in Minas Tirith (Tolkien 1966:1213). Gandalf was nomadic as well throughout the entire series, but often had long visits to the Shire and Rivendell where he would reside for days or weeks at a time. In contrast to Gandalf, Saruman resided in Isengard where he took his position as the Highest Wizard of the Order and Head of the White Council (Tolkien 1980:389).

The language that is spoken by Men is Westron or Common Speech, which is spoken in all the major cities of Men in Middle-earth as well as Hobbiton. Aragorn has the knowledge of various other languages to include Westron, Sindar, Dwarvish, and possibly some knowledge of ancient languages. Gandalf has the knowledge of all ancient and modern languages of Middle-earth, and is able to communicate with Elves, Dwarves, Ents, Men, and Hobbits. I am assuming that Théoden and Éowyn only spoke Westron or Common Speech; it was not indicated within the texts otherwise.

*The Dwarves*

The ages of Dwarves from *The Hobbit*: Thorin Oakenshield, Fíli, Kíli, Balin, Dwalin, Óin, Glóin, Dori, Nori, Ori, Bifur, Bofur, and Bombur, are calculated from the year 2941 of the
*Third Age*. This is the year that *The Hobbit* takes place. Glóin and Balin are mentioned in *The Lord of the Rings* series once right before the Council of Elrond (Tolkien 1954:284). Glóin was born in the year 2783 of the *Third Age* and passed away the year 15 of the *Fourth Age*, making Glóin 158 years old at the time of the journey to the Lonely Mountain. Oín was born in the year 2774 and died the year 2994, and he was 167 years old. Thorin Oakenshield was born the year 2746 and he died in the year 2941 during the Battle of Five Armies, making him 195 years old at the time of his death. Fíli and Kíli were also killed during the Battle of Five Armies; Fíli was born the year 2859 and was 82 year old, while Kíli was born the year 2864 and was 77 years old (Tolkien 1966, 1343). There is little information on the birth and death of the following: Dori, Nori, Ori, Bombur, Bifur, and Bofur; and they appear to have not been descendants of the line of Durin. All the other Dwarves previously mentioned, including Gimli, are all from the Line of Durin making all the Dwarves related in one form of kinship or another (mostly cousins) (Tolkien 1966:1343). It is unclear where these Dwarves were born, but they had all resided in the Lonely Mountain before Smaug invaded and captured the Lonely Mountain (Tolkien 1937).

Gimli, son of Glóin, was born in the year and was approximately 139 years of age at the time of *The Lord of the Rings* (Tolkien 1966:1343). According to Tolkien’s timeline, Gimli left Middle-earth with Legolas in the year 1541 of the *Fourth Age* (Tolkien 1966:1364). After the fall of Sauron, Gimli was granted lordship of the Glittering Caves of Helm’s Deep (Tolkien 1966:1344).

The Dwarves creation as a race is described in *The Silmarillion* as creations of the Valar, Aulë, in secret during the creation of Arda because he had wanted to share his love for creating and craft (Tolkien 2001:43). However, they were put to sleep under the mountains until the Elves were ready to be awakened by Ilúvatar (Tolkien 2001:43). The Dwarves spoke their own
language of Dwarvish which does not appear to have a specific name to it, but, like the Elves, they spoke Common Speech (Tolkien 1966:1405).

Tolkien creates the distinct dichotomy of Men characters and Non-Men. Men are categorically opposed to Hobbits, Elves, Dwarves, and Orcs. This distinction is due to the changing world and the fading of the Elves. It is clear that there is hierarchy that Tolkien bestows upon his cultural groups with the Elves as the supreme, perfect, beings opposed by the Dwarves and Orcs at the bottom of the hierarchical pyramid. Elves are described as tall, beautiful beings that live in lavish dwellings. The Elven race is hierarchically opposed to Dwarves, who are stocky, rough, and dwell in caves and mountains. Men and Elves are in opposition in that the Elves are immortal and Men are mortal. Men may have physical characteristics of both Elves and Dwarves such as stature, fashion of clothing, and physical appearance; live in villages, or cities, which are neither as lavish as the Elves nor in caves or underground like the Dwarves; however, they do not live as long as Dwarves or the immortal Elves; they can be killed in battle like the Dwarves and the Elves; and Men can be evil where Dwarves and Elves are categorically not considered evil beings in Tolkien’s context. When Men are compared to Hobbits, Tolkien does not categorize Hobbits as Men rather they are Halflings; liminal beings that share similar characteristics to Men but are short, have big feet, and may possess magical abilities.

*The Ents*

Treebeard is an Ent, Tree-folk, who were created during the *Year of Trees*. It is unclear what the date of Treebeard’s birth and death, but he has existed on Earth for over 7,050 years and is one of the three eldest Ents surviving within Middle-earth. According to Treebeard, the Elves taught the trees that art of language, “cured them of their dumbness” (Tolkien 1965:585). There are male and female Ents (Entmaidens or Entwives). Females were interested in the care of the
lesser trees (those who did not learn to speak), saw greater detail in the world, did not have a desire to speak, gave agency to the lesser trees by ordering them to grow in the way they want to grow, wanted order, and grew gardens. Male Ents were wanderers, loved great trees, learned from the Elves, and spoke with all the trees. Unfortunately, the female Ents were lost by the male Ents and do not remember how they were lost (Tolkien 1965:590).

Smaug

Smaug first appears in the year 2770 of the Third Age when he descends upon the Lonely Mountain. There is a lack of information about Dragons as a whole. In The Silmarillion, Tolkien states that Dragons were created in Mordor, but it is unclear how or why (2001:192). Smaug appears to be intelligent and have a lust for gold. Smaug is defeated in the year 2941 of the Third Age by Bard when Smaug attacks Lake-town (Tolkien 1937:228).

Sauron

Sauron was one of the many lesser Ainur (Holy Ones) known as the Maia that was created by Ilúvatar (the Supreme Being) before the creation of Arda (Earth) (Tolkien 2001:32, 285). At this time, Sauron was a Maia of Aüle, the Valar, who was one of the spirits who descended to Arda after its creation. Sauron learned forging and crafting from Aüle (Tolkien 1980:254). Although he was strong and powerful, he was soon corrupted by the Dark Lord Morgoth, a fallen Valar, who wanted the Earth for himself. He became Morgoth’s most powerful lieutenant (Tolkien 2001:31-32). He was defeated at the end of the First Age during the War of Wrath when Morgoth was captured and imprisoned by the Valar (Tolkien 2001:251). During the Second Age, Sauron used his powers of deception to convince the Númenor to rebel against the Valar and worship Morgoth. He played on their fear of death, promising the Númenor that Morgoth would free them from their mortality. However, the Ilúvatar punished the Númenor by
flooding their island. Sauron retreated back to Mordor where he began his next plot to deceive the Elves (Tolkien 2001:259-282). He disguised himself to gain the trust of the Elves to learn the art of forging the Rings, and in secret he forged his own in Mount Doom. Once the One Ring placed on Sauron’s finger, he could find the wearers of the Rings of Power and perceive their thoughts. The Elves sensed Sauron’s treachery and hid the Three Rings of Power (Tolkien 2001:286-289). However, the other sixteen were captured by Sauron, lost or destroyed. In order to try and control the other races in Middle-earth, he gave seven to the Dwarf lords and nine to Men lords. The Dwarves were able to resist the power of the rings more than Men but instead gave them a great lust for gold which would foreshadow their downfall. All nine Men were corrupted and became Sauron’s deadliest servants, the Nazgûl (Tolkien 2001:288-289). During this era, Sauron raised an army to attack the Elves and Men in a war that would last for seven years (Tolkien 2001:294). Sauron fell at the conclusion of the Last Alliance of Elves and Men when Isildur cut the One Ring from Sauron’s finger (Tolkien 2001:293-294). Sauron lost his physical form but not his spiritual power that he poured into the Ring when he forged it (Tolkien 2001:294). As long as the One Ring survived, Sauron survived and could rebuild his army in a non-corporeal form.

During the Third Age, Sauron made his presence known as the Necromancer in Mirkwood in TA 2941, when Gandalf discovered that the Necromancer was Sauron and drove him out of Mirkwood (Tolkien 1954:310; 2001:299-302). Sauron returned to Mordor to rebuild his armies and began to exert his will across Middle-earth as a symbolic, non-corporeal form of a lidless eye (Tolkien 1966:1178). Sauron was eventually defeated in the year 3019 when Frodo brought the Ring to Mount Doom in Mordor and the Ring was destroyed, destroying Sauron’s spiritual form (Tolkien 1966:1177-1180).
<table>
<thead>
<tr>
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<th>Race</th>
<th>Age</th>
<th>Sex</th>
<th>Married To</th>
<th>Place of Birth of Individual</th>
<th>Place of Birth of Mother</th>
<th>Place of Birth of Father</th>
<th>Residence</th>
<th>Primary Language</th>
<th>Occupation</th>
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<tr>
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<td>Half-Elf</td>
<td>6517</td>
<td>M</td>
<td>Celebrian</td>
<td>Beleriand</td>
<td>Lanthir Lamath</td>
<td>Gondolin</td>
<td>Rivendell</td>
<td>Sindar</td>
<td>Lord of Rivendell</td>
<td>FA 532</td>
<td>TA 3021</td>
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<td>Elf</td>
<td>6062</td>
<td>F</td>
<td>Elrond</td>
<td>Lake Nemiaul</td>
<td>Valinor</td>
<td>Doriath</td>
<td>Rivendell</td>
<td>Sindar</td>
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<td>Lake Nemiaul</td>
<td>Beleriand</td>
<td>Rivendell</td>
<td>Sindar</td>
<td>Warrior</td>
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<td>?</td>
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<td>2889</td>
<td>M</td>
<td>N/A</td>
<td>Rivendell (?)</td>
<td>Lake Nemiaul</td>
<td>Beleriand</td>
<td>Rivendell</td>
<td>Sindar</td>
<td>Warrior</td>
<td>TA 130</td>
<td>?</td>
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<td>2777</td>
<td>F</td>
<td>Aragorn</td>
<td>Rivendell (?)</td>
<td>Lake Nemiaul</td>
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<td>Rivendell</td>
<td>Sindar</td>
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**Note: Abbreviations for ages and language**
FA = First Age, SA = Second Age, TA = Third Age, FoA = Fourth Age, and YT = Years of the Trees, and CS = Common Speech