

Miyazaki Hayao's *Kaze tachinu* (*The Wind Rises*) as an Homage to Hori Tatsuo

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Abstract

This study analyzes Miyazaki Hayao's movie *Kaze tachinu* as an homage to the writer Hori Tatsuo's famous novel *Kaze tachinu*, and also takes into account Miyazaki's earlier comic version of *Kaze tachinu* (by the same title). While both titles are taken from Hori's famous novel, Miyazaki's movie, in contrast to his comic, strongly diverges from the book's plot. Still, in both cases, the narrative centering on the female protagonist and her fatal illness contains conspicuous similarities regarding images and locations, as well as structural parallels concerning for example the omission of major events such as death. These structures, just as the role of the verse "Le vent se lève!..." and the connected motif of wind, both of which exhibit similarities to Hori's novel, are noticeably incorporated into the seemingly unrelated main plot, focusing on the main protagonist Horikoshi Jirō's dreams and on his work constructing war-planes. The multilayered identities embodied in him reflect on several real and fictional persons, amongst them Hori Tatsuo himself, underscored by various techniques of authentication and fictionalization. This paper analyzes all three works comparatively to find out if – and how – movie and comic are inspired by and related to Hori's novel *Kaze tachinu*, and will in the process show how Miyazaki changes meanings, statements, and motifs in his works.

Introductory remarks

Miyazaki Hayao 宮崎駿 (*1941), co-founder of the animation film studio "Studio Ghibli" (スタジオジブリ; founded in 1985), can without doubt be ranked as Japan's most famous and acknowledged director and screenwriter of animated movies. His latest work, *Kaze tachinu* 風立ちぬ (English title: *The Wind Rises*), which premiered on July 20, 2013, shares many of its themes with his other films – illness, airplanes, ambivalence about technical progress, and negative images of war. Yet, in sharp contrast to Miyazaki's earlier works, the slow, quiet and serious plot of *Kaze tachinu* unfolds against a backdrop of real historical events of the 1920s and '30s. As emphasized by Studio Ghibli's promotional website, it is also Miyazaki's first feature movie based on "real persons".¹ Most conspicuous is the main

¹ The exact phrasing is "real persons as models" (*shinjitsu no jinbutsu no moderu* 真実の人物のモデル) (<http://kazetachinu.jp/prono.html>).

protagonist, who is closely modeled upon and even explicitly named after the aeronautical engineer Horikoshi Jirō 堀越次郎 (1903–1982). In the 1930s and '40s, Horikoshi designed warplanes for the Mitsubishi company, amongst them the famous A6M Zero. These planes were in turn manufactured for the military and used in war. Still, not only is Horikoshi as the main protagonist of the film depicted in a very positive light, the movie is dedicated to him. Expectations among the audience for a much more explicit war-critical movie were not met.² The critics were split over the portrayal of Horikoshi and the Zero fighter.³

While a great number of reviews, commentaries, and studies of the film *Kaze tachinu* have been written, the main focus has remained consistently on Horikoshi Jirō, the protagonist and his real-life model. A second historical person central to the movie has been mentioned only in passing or has remained entirely unnoticed: the writer Hori Tatsuo 堀辰雄 (1904–1953). Not only is the movie's title taken from one of Hori's books,⁴ it is – as shown after the last scene – explicitly dedicated to Horikoshi Jirō *and* Hori Tatsuo. The wording Miyazaki uses here – *ke'i* 敬意 which translates best as “out of deference” – clearly identifies the movie as a twofold homage. In his review – probably the earliest in a Western language – Reinhard Zöllner pointed out that prior knowledge is necessary to understand (and enjoy) the movie, as the background and most historical facts are left unexplained. Amongst others, he points out the relevance of Hori Tatsuo (ZÖLLNER 2013). Still, as Hori's life and œuvre remain virtually unknown outside of Japan, these explicit references were mostly ignored there.⁵ An exception is Jonathan R. Lack, who offers some conclusions, but is limited by the scarcity of Western language sources regarding Hori.⁶ Yet,

² Even though Miyazaki had stated repeatedly that he did not want to make an anti-war movie, promotion material published well before the premiere of *Kaze tachinu* suggested otherwise (cf. AKIMOTO 2014: 48). To make their stance against war and against the rightwing clear, Miyazaki and producer Suzuki Toshio, on the occasion of the opening of *Kaze tachinu*, published a note condemning any planned changes to the so-called “peace constitution” (cf. *ibid.*: 62 ff.).

³ The movie was still generally rated rather positively, maybe since Miyazaki was widely known as a public critic of war and right-wing policies. Amongst those trying to interpret *Kaze tachinu* as an anti-war movie, Akimoto Daisuke offers the most elaborate argumentation, claiming that Miyazaki sees “war and peace issues in the light of war memory, war responsibility, and anti-war pacifism” (AKIMOTO 2014: 47).

⁴ Outside Japan, it was often understood only to be a reference to Valéry's famous poem, from which Hori adopted the title of his book.

⁵ The bits of information available in the internet often led to considerable confusion and numerous mistakes. John Dale Rucinski's study (RUCINSKI 1977) represents the only major academic study in English, but has been ignored by critics. While most of the five translations into English listed by the Japan Foundation (www.jpff.go.jp) are virtually unobtainable, the newest one by Francis B. Tenny (HORI 2005), as well as a Daniel Struve's French translation – much closer to the original than Tenny's – had been widely available even before the movie started. Translations in this article are my own.

⁶ His study certainly has its merits, but rather regarding his analysis of Miyazaki's movies than Hori's influence. His only source concerning Hori is Tenny's translation which is quite free and skips

even in Japan, while the homage to Hori was widely noticed, and has been – rather briefly – treated by Kanō Seiji, Murase Manabu and Sasaki Takashi⁷, there has been to date no profound analysis written. As so far only one aspect of Miyazaki's homage – to Horikoshi – has been discussed extensively,⁸ this study aims to fill a gap in the reception of the movie and analyze it under the aspect of its being an homage dedicated to Hori Tatsuo.

To put the movie into its context, this study will also comparatively focus on its direct predecessor: Miyazaki's comic "*Kaze tachinu: Miyazaki Hayao no mōsō kamubakku*" 風立ちぬ 宮崎駿の妄想カムバック ("The Wind Rises: Miyazaki Hayao's Delusion Comeback"). It was published in nine chapters over the course of nearly a year from 2009 to 2010 in *Model Graphix* モデルグラフィックス (*Moderugurafikkusu*), a hobby magazine devoted to scale modelling of planes, ships, vehicles etc. The comic differs significantly from its successor and has mostly been ignored in its relations to the film, yet by juxtaposition, it is a useful work to better understand Miyazaki's movie with its twofold homage.

An homage is not only positive by definition, implying reverence and similar feeling; in works of art, it normally entails intertextual or intermedial techniques, showing how the creator was inspired by the person or subject of the homage. In the case of a movie being an homage to a writer and, by implication, to his work, it can come close to an adaptation. As *Kaze tachinu* shares its title with a book by Hori, this study will concentrate on comparing plots, structures, images, protagonists, place and time between Hori's novel and Miyazaki's comic and movie. In addition, this article will probe into the use of poetry and the theme of wind. The set of questions to be tackled includes not only the significance of the writer and the novel for Miyazaki's movie, but also if – and how – meanings, statements and motifs of the film are emphasized or changed by this homage.

1 Adapting an Adaptation into an Homage

"In those summer days, while you stood in the middle of the plain, overgrown with *suzuki*-grass, and diligently painted, I was always lying in the shadow of a birch next to you."⁹ In this manner, the novel *Kaze tachinu* takes off with the unnamed first-person protagonist spending a seemingly timeless and unchanging summer in a mountain resort with the

over many important nuances. Accordingly, Lack's analysis concerning Hori's life and work remains rather shallow and shows inaccuracies and some mistakes. His effort to interpret the movie as dualistic leads to some simplifications, as well; see, for example, LACK 2014: 87 f.

⁷ See KANŌ 2015, MURASE 2015: 225 and SASAKI 2015: 88–91.

⁸ Hence, the subject will not be taken up again in this context. For a detailed analysis of Horikoshi's role cf. AKIMOTO 2014: 45–72.

⁹ *Sorera no natsu no hibi, ichimen ni Suzuki no oishigetta kusahara no naka de, omae ga tatta mama neshin ni e o egaite iru to, watakushi wa itsumo sono katawara no ippon no shirakaba no kokage ni mi o yokotaete ita mono datta.* それらの夏の日々、一面に薄の生い茂った草原の中で、お前が立ったまま熱心に絵を描いていると、私はいつもその傍らの一本の白樺の木蔭に身を横たえていたものだった。 HORI 1977: 452.

woman he loves. It is undoubtedly one of the most striking scenes in the book. Conspicuously, a young woman painting on a meadow was featured early on posters for Miyazaki's movie, turning it into one of its most prominent images. There are some differences, as neither birch nor *suzuki* are depicted; instead, a parasol is added. On later posters, the male protagonist joins, standing next to her. Nonetheless, this image immediately brings to mind the opening of the book.

Supplemented by the title and Miyazaki's dedication, the promotion suggested that the film is an adaptation of Hori's book. Accordingly, while the main plot is focused on Jirō's dreams and his work designing planes, many critics – spurred on by the above image and centering on the couple depicted – have categorized the plotline in the second half of the movie as an adaptation of Hori's novel. However, this plotline strongly deviates from the novel's plot. To clarify this point, it is expedient to first juxtapose the earlier comic with the book.

Miyazaki's comic, as can be expected by its publication in a scale modelling magazine, is dedicated even more to Horikoshi's work than the movie, delving at times deeply into aeronautical details. The first chapter shows a young Jirō dreaming of the Italian engineer Caproni – based on the aeronautical designer Gianni Caproni (1886–1957) – and some planes he had designed.¹⁰ The following three chapters are entirely devoted to Jirō's early work as aeronautical engineer designing planes. Only in the middle of the entire comic, close to the end of the fifth of nine chapters, when, in the summer of 1933, after a failure and overworked, he drives to the mountain resort Karuizawa, does Jirō meet the girl, called Naoko, for the first time, when he happens to see her painting a picture on a meadow (MIYAZAKI 2015: 33). This image gains prominence by being conspicuously depicted two more times in the next chapter, once in a chronology with the comment "Jirō's summer" (ibid.: 35) and once in a daydream (ibid.: 37). It is somewhat closer to the book than is the movie poster, as there is no parasol but some plants that could represent *suzuki*. The scene also marks a dramatic break with the former narrative, as it starts the second, albeit minor narrative, to which the entire sixth chapter is devoted.

Seeing this unknown girl, Jirō stumbles and flees, which is in this context indicating he has fallen in love. In the sixth chapter, Jirō, at the hotel that both he and the girl are staying in, gets her attention with a paper plane. Spurred on, he designs yet another, special, paper plane. She and her father, whom Jirō gets to know on a walk and in the smoker's lounge, witness the virgin flight by accident. That evening Jirō asks the father for Naoko's hand – this is the first time her name is mentioned. The father in response tells him about her tuberculosis, when she appears and accepts.

The first chapter of Hori Tatsuo's novel *Kaze tachinu*, titled *Jokyoku* 序曲 (*Prelude*), takes place in the village K. – although this is disclosed only in the last chapter. It is well-

¹⁰ Caproni appears frequently in Jirō's dreams in both of Miyazaki's works (cf. AKIMOTO 2014: 60 f.).

known to critics and readers alike that K. stands for Karuizawa, the location adopted by Miyazaki as well. The date is only given in the fourth chapter, which is set two years later in 1935. So in this regard, the comic follows the book, too. Apart from the similarities of time and place, there are significant differences between the comic and this short chapter in the book. A major difference is the name of the woman, who in the novel is called Setsuko. In the course of the first chapter, her name is also mentioned only once, she is referred to as “you”, so it would seem that the story is being narrated directly to her. The first event to start time and plot is a sudden wind, blowing down Setsuko’s easel. In the next section, Jirō and Setsuko take a walk together through the surroundings. As her father is expected to arrive at the resort, they are afraid that they will not be able to be together anymore. In the next section, Setsuko’s father has arrived and the protagonist can only watch her from afar in the dining hall. After they have left, he starts working again and finally, in early autumn, takes a walk to where they had spent their summer.

In contrast to the comic, in the novel itself, there is no contact between Jirō and Setsuko’s father, and accordingly, neither the proposal nor the disclosure of an illness take place in this chapter. Yet, in the second chapter of the book, *Haru* 春 (*Spring*), it is soon disclosed that the couple by now is engaged. Two years have passed when the first-person protagonist visits Setsuko at home. He first meets her father in the garden. Their talk reveals to the reader that Setsuko is by now suffering from a disease. While it is never explicitly identified, contemporary readers will have understood the disease to be tuberculosis, as this illness was widespread in Japan. Setsuko’s condition and her thoughts about going to a sanatorium are also the topic when Jirō visits Setsuko in her sickroom. Later, a doctor visiting Setsuko afterwards on the way to the train station secretly explains her condition to the protagonist. In the final scene, the couple departs by train for a sanatorium. Setsuko’s father sees them off at the station.

In the seventh chapter, Miyazaki’s comic returns to the former main narrative, Jirō’s work as an engineer. Embedded in this plot, comprising only about a fifth of the chapter, is a reference to the book. Here Jirō visits Naoko at her father’s place, where she is already ill in bed. Her father tells Jirō on the way to the train station that the doctor has recommended that she go to a mountain sanatorium. This scene is an obvious reference to the book, albeit very short and considerably modified.

The couple’s time in the mountain sanatorium, called F., encompasses the longest part of Hori’s novel, stretching over the next two long chapters. The third chapter, bearing the same title as the entire novel, *Kaze tachinu*, describes the journey to and the everyday life in the sanatorium. Towards the end of the chapter, the protagonist starts to take long walks and to work on a novel about their happiness. The fourth chapter, *Fuyu* 冬 (*Winter*), is written in the form of a diary, from 20th October until 5th December 1935. The protagonist continues to take walks, but, being caught in thoughts and doubts, is soon unable to work well and finally gives up. All the while, the woman’s condition is getting

critical. The fifth chapter, *Shi no kage no tani* 死の影の谷 (*Valley of the Shadow of Death*), represents a sharp break. Still written in diary style, it is set in December 1936, one year later. Setsuko has died, most probably soon after the story line of the former chapter ends. The protagonist spends a lonely winter in a mountain cabin next to the mountain resort depicted in the first chapter.

In Miyazaki's comic, Setsuko arrives with her father at the highland train station close to the sanatorium in a short scene at the end of the eighth chapter. The rest of the chapter is devoted to aeronautical designs. Unlike in the novel, where the couple departs for the sanatorium together, in the comic, Jirō has taken off from work and awaits Setsuko and her father at the train station close to the hospital. In the last chapter, Jirō is shown with Naoko in the sanatorium, taking up roughly two fifths of the space in the middle of this chapter. He is working at night next to her bed, but has to leave the next day. Her subsequent demise is not depicted. One difference is the date; in Miyazaki's comic, the year is 1934, one year earlier than in the novel, just as the visits to Naoko's home occur already in autumn and winter 1933. The reason for this is that the main plot of the comic immediately afterwards comes to an end with the test flight of the Mitsubishi Navy Type 96 Carrier-based Fighter. This is on the one hand the climax of Jirō's career; on the other hand, he is depicted as unhappy and alone. As this historical event took place in February 1935, Miyazaki had to change the date.

All in all, the comic stays remarkably true to the novel regarding the whole tragic love narrative. The similarities between comic and novel are close enough to speak of an adaptation in this case – creative and free as it may be. This storyline of the comic, however, also signals a sharp break and deviation from the plot by centering on Jirō's work. As previously mentioned, this can be explained by the fact that the comic was published in a scale modeling magazine. In taking up roughly twelve of forty-five pages, the whole side-narrative constitutes about a quarter of the complete work, all of it in the second half.

Miyazaki's later movie *Kaze tachinu* shows some resemblance to the comic. The main-plot similarly takes up about three quarters of the work and is focused on Jirō's professional career. Yet, there are fewer technical details and less historical information presented in the movie, and the narrative moves more straightforwardly, undoubtedly to be better suited to the different medium. While the scene with the woman painting on the mountain meadow is again nearly in the middle of the work and represents a break in the narrative, Jirō's and Naoko's first meeting is shown close to the beginning of the movie, thereby embedding it deeper into the whole narrative. They meet in a train which is brought to a stop shortly afterwards by the Great Kantō earthquake (in 1923). Jirō takes her back to her home in Ueno, yet is unable to find her again later, as a firestorm has devastated this part of Tōkyō. This represents a major deviation from both comic and novel.

After many years, in the early 1930s,¹¹ they meet again by accident when Jirō takes a break from his stressful work in a mountain resort and, while on a walk, sees a young woman paint a picture on a meadow. The newly added parasol's function is to be blown away by a sudden gust of wind so that Jirō can catch it and give it to her father who just arrives. They later see each other from afar in the hotel's dining hall. Only when the two meet again in the forest does she recognize him to be the man who brought her home after the earthquake, for which she thanks him. They stroll together and get soaked by a rainfall, which damages her painting. Afterwards, a fever keeps Naoko in bed for some time. When she gets better, both she and Jirō play with paper planes Jirō constructs. One evening, Jirō asks her father for her hand. She arrives at that moment and accepts instead of her father, but also tells him about her tuberculosis. Closing and framing this part, the couple is shown again happily on the meadow with the easel. The whole narrative taking place in the mountain resort – its name is not disclosed here – resembles the comic regardless of the many smaller changes. Their walk in the forest, not featured in the comic, slightly resembles the walk in the first chapter of the book.

Jirō is bound up in his work again when he is informed that Naoko's illness has broken out. He pays Naoko a short visit at her home. While he has to go back to work, Naoko is going to a sanatorium. Here, there is a second major change compared to the comic: In the film, Naoko's life in the sanatorium is shown only shortly, as she soon flees to be with Jirō. They get married and live together, with Naoko staying in bed and Jirō working next to her at night. When Naoko feels her end approaching, she leaves again for the sanatorium without letting him know. Her death is not depicted, instead, the film ends with Jirō witnessing the test flight of the Type 96 Carrier-based Fighter and a last dreamlike sequence.

With two major changes, the first meeting and Naoko's flight from the sanatorium, but also with many details differing in the story parts taking place in the mountain resort and at Naoko's home, Miyazaki's adaptation of the comic's narrative centering on Naoko can only be called very free. Quite a large number of changes can be found in the main narrative as well. Still, there are enough similarities to justify discussing the movie as an adaptation of the comic. Many of the differences between comic and movie certainly owe much to the different media, the publication backgrounds, and the anticipated audiences. While the comic strays into side-narratives, breaks, and technical details, it appeared monthly in separate parts. Miyazaki obviously felt the need to instill a much more rounded off and dramaturgical narrative in the movie. This is certainly the case with the early meeting with Naoko and the subsequent earthquake, as it better integrates the plot

¹¹ The exact date is unclear. A test flight of the Mitsubishi 1MF10, preceding the scene, indicates 1933, while a newspaper shown shortly afterwards refers to the "Shanghai Incident" which took place in 1932.

centering on Naoko into the whole narrative.¹² The second major change, Naoko's flight from the sanatorium, is harder to explain from this perspective.¹³

The differences between the film's plot and the novel, on the other hand, are significant. Most of the similarities between comic and novel are erased in the movie. Little is left, apart from the most general resemblance of the narrative theme: The protagonist loves a woman who suffers from tuberculosis and eventually succumbs to it. Naoko is the key figure for this whole plot, inspired in the comic by Horí's novel and inspired in the movie by the comic. Her person links all three works as all similarities and parallels are centered upon her.

Irritating in this connection is the change of name from Setsuko to Naoko, which had already occurred in the comic.¹⁴ This name obviously refers to another famous novel by Hori Tatsuo, his later work *Naoko* 菜穂子 (1941). Not surprisingly, this allusion has led some viewers to mistake the movie for an adaptation of *Naoko*.¹⁵ Both women have tuberculosis, but this pertains to Setsuko as well. The most conspicuous similarity is that Naoko in the book, just as in the movie, goes to live alone in a sanatorium and later sneaks out despite her illness. While *Kaze tachinu* is written solely from a first-person perspective, *Naoko*, being narrated in the third-person, shifts between the perspectives of different protagonists, among them the heroine's.¹⁶ Similarly, some scenes of the movie are dedicated exclusively to Naoko's life apart from Jirō. Sasaki Takashi points out that both women act decidedly more than Setsuko in the novel *Kaze tachinu* does.¹⁷ Yet, there are major differences between them as well, with a realized love narrative absent from *Naoko* and the outcome of her illness left largely uncertain.¹⁸ In Miyazaki's comic *Kaze tachinu*,

¹² The integration and unfolding of this plotline is nonetheless one feature of the movie that has been frequently criticized (cf. PENNEY 2013b: 5).

¹³ Miyazaki said that he himself was not fully convinced of this part of the plot, but followed the request of his staff (cf. HANDŌ and MIYAZAKI 2013: 169).

¹⁴ A possible reason could be the use of the name Setsuko in *Hotaru no haka* 火垂るの墓 (1988; English title: *Grave of the Fireflies*), an adaptation of the novel of the same title by Nosaka Akiyuki (1930-2015) directed by Takahata Isao for Studio Ghibli. Still, this should not have posed a problem, as Miyazaki had not originally intended to adapt the comic.

¹⁵ Cf. KANŌ 2015.

¹⁶ It is not narrated solely from Naoko's perspective, as Sasaki suggests (cf. SASAKI 2015: 91).

¹⁷ SASAKI 2015: 91. In addition to leaving the sanatorium, Naoko in the movie accepts the proposal herself and later decides to leave Jirō. Being even more independent-minded than Naoko in the novel, who shows considerable weaknesses, she is still far from the typical strong girl often playing an important role in Miyazaki's movies (cf. LACK 2014: 130; PENNEY 2013b: 5 f.).

¹⁸ Naoko is married unhappily. A friend from her youth in K. village (a storyline unrelated to the scenes taking place in Karuizawa in *Kaze tachinu*, although sharing the location) has loved her ever since, but when they meet again there is no understanding between them and no love affair begins. Also, while she is seriously ill, it is still uncertain at the end of the book whether or when she will succumb. Resignation and enduring acceptance of fate are two main topics of

similarities to Hori's novel *Kaze tachinu* abound as described above, moving it even further away from Hori's *Naoko*, despite the use of the name Naoko for the heroine. Here, the use of the name Naoko might denote the fact, that, notwithstanding the many similarities, the comic *Kaze tachinu* is meant to be an independent work, dissociating it from the novel. It also could already indicate Miyazaki's devotion to Hori and his work in general. This is reinforced in the movie by adding further inspirations from *Naoko* in exchange for the closeness to the plot of Hori's *Kaze tachinu* as seen in the comic. The homage to Hori's larger oeuvre is significantly broadened.

Notwithstanding these references to *Naoko* and the changes of plot in Miyazaki's movie, there are still obvious links and references between Naoko and Setsuko. Most prominent is her painting in a natural setting. Naoko's hat also resembles Setsuko's hat as described in the second chapter of the book.¹⁹ Another particular detail would be the French door at Naoko's home as well as the western interior, with the protagonist arriving from the garden. Naoko's family situation also shows parallels to the novel: Her mother is absent²⁰ – she has died of tuberculosis in the movie, in the book she is not mentioned once, possibly indicating a similar fate – and the only relative featured is her father.²¹ Furthermore, all three main locations from the book are taken as backgrounds for the narrative centering on Naoko.²² While Naoko goes to live with Jirō in the movie, in the comic Naoko is never shown anywhere else than in these locations, separating her from the main plot.

Another similarity concerns the work of the protagonist: In the novel this is addressed a few times by Setsuko and her father; both are worried that his relationship to Setsuko will impinge upon his work. In the comic, her father, when taking Jirō from their home to the train station, does not want to let him go to the sanatorium with his daughter because of Jirō's job. The depiction of Jirō working while Naoko rests in bed – in the comic in the sanatorium, in the movie at their room – also resembles some scenes in the book when

Naoko (cf. RUCINSKI 1977: 152 f.). In the movie, Jirō's superior shares his last name, Kurokawa, with Naoko's husband in the novel, yet no other similarities are noticeable in this context.

¹⁹ Different from the movie, this hat is featured only in the second chapter of the novel (HORI 1977a: 463).

²⁰ There are actually very few protagonists in Hori's novel. They stay in the background and do not get much attention, going so far that none is mentioned by name apart from Setsuko. Additionally, all three works feature a German foreigner in Karuizawa. In comic and movie, he is a mysterious guest in the hotel, in the last chapter of the novel a strange priest.

²¹ In the comic, the father is depicted as much more similar to Setsuko's father, especially with his sorrows betrayed by his posture (MIYAZAKI 2015: 44; HORI 1977a: 472).

²² In all cases, their identification is inconsistent, starting with the novel rendering them anonymous – paratexts to the book add the well-known facts: K. as Karuizawa and the F.-Sanatorium as the Fujimi-Sanatorium. In the comic, Karuizawa is named while the sanatorium can only be identified by its location – similar to the book. In the movie, Karuizawa is not identified, while a sign explicitly reads Fujimi-Sanatorium.

Hori's first-person protagonist, being an author, starts to write a tale about their own life. In both of Miyazaki's works, the woman cannot see the masterpiece any more. In the book as well, the protagonist does not manage to finish his tale in time.

There is another, most conspicuous parallel pertaining to the woman in the dramaturgical structure of all three works. In all cases, her demise is certain, yet its actual occurrence is omitted. In Hori's book, Setsuko's death is foreseen in one of her dreams and in a vision of the first-person protagonist, yet the fourth chapter breaks off suddenly when her condition is becoming critical. Likewise, comic and movie omit Naoko's death. In the comic, after Jirō leaves the sanatorium, her demise is revealed by comments. In the movie, it is hinted at in advance; its complete omission at the end comes as a surprise. This ellipsis of the heroine's demise strongly resembles the novel's narrative structure.

In Hori's book, four central events are not narrated: The first meeting of the protagonists, the proposal, the beginning of the illness and the death of the heroine. The narration consists in the main of many small and day-to-day changes. There is not a lot of explicit emplotment, as the narrative of the novel develops at a very quiet pace, often delving into uneventful everyday life, thoughts of the first-person narrator, and descriptions of nature. The seasons change, but the actual passage of time is only explained after the fact. Imaginations, recollections, visions, dreams, and streams of thought further blur the feeling of a chronology. The five parts of *Kaze tachinu* resemble a collage of biographical episodes in different narrative styles, focusing on the normal day to day life, while major occurrences can only be presumed to happen in the gaps.

This structure can be explained partly given the history of its creation. Hori actually wrote four works, published first in different magazines and only thereafter as a book: Chapters 1 and 3 were published together as *Kaze tachinu* in December 1936, *Fuyu* in January 1937 and *Kon'yaku* 婚約 ("Betrothal"; the eventual *Haru*) in April 1937.²³ Only when the last chapter, *Shi no kage no tani*, was finished and published as late as March 1938, after a creative crisis, could the book be published in its final form in April 1938. Another rather short novel of Hori's from 1934, *Utsukushii mura* 美しい村 ("Beautiful Village"), consisting of four chapters also published separately first, is set in spring and early summer of presumably the same year in which the *Prelude* of *Kaze tachinu* starts.²⁴

²³ Cf. HORI 1978b: 571 f. and 212–292 for this first version.

²⁴ Complimenting *Kaze tachinu*, both works have also been published together several times. With even less plot – Rucinski characterizes the narrator of *Utsukushii mura* as "a distant, analytical observer of nature, other characters, and his own emotions" and emphasizes Hori's stance of passivity (RUCINSKI 1977: 135) – the first-person protagonist mostly takes leisurely walks through K. village, the location of chapters 1 and 5 of *Kaze tachinu*. The third and fourth chapters focus on the first and subsequent meetings with a girl who likes to paint, easily recognizable as Setsuko. The depiction of sunflowers near the hotel in comic and movie might be a reference by Miyazaki's: In *Utsukushii mura*, the protagonist first sees Setsuko standing at a window, but mistakes her for a sunflower because of her shining straw-hat.

The structural peculiarities of the novel can also be interpreted intratextually. As mentioned, Hori's narrator in the third and fourth chapter starts to write a tale focusing on their life and happiness together. This accounts for the different perspectives, such as the prelude's use of the second person and the use of diary style when he feels he will not be able to write an end to their story. It further explains the above structures, since their happiness is located in uneventful daily life accentuated by its fragility.²⁵ On the other hand, the book's narrator tries to keep death suppressed and hidden. He even doubts the sheer possibility to depict it. He has to stop working in the fourth chapter when Setsuko's condition gets critical and his awareness of their happiness begins to fade. Only in the last chapter, while staying alone in the mountain resort, is he able to remember and experience a sort of happiness again, as he can still occasionally feel Setsuko's presence around him. He sometimes continues to talk to the deceased, turning her once again into a second-person protagonist. This, together with musings over Rainer Maria Rilke's (1875-1926) *Requiem für eine Freundin* (1908), walks, and contemplations of nature, helps him to find some peace of mind and also to finish his tale.²⁶

The omission of the heroine's demise in Miyazaki's works can hardly be accidental. It might even indicate an explanation for the second major difference between comic and movie. Naoko's flight from the sanatorium to Jirō, quickening her death, is an expedient narrative sequence to gently and completely omit her death. In the comic, rather indirect comments suggest her passing. As the movie does not feature a narrator, instead of Jirō leaving her in the sanatorium, her leaving him serves as a clear signal, such that it is not necessary to explicitly refer to or show her demise.

Notably, the end of the movie differs from the comic as well. In the scene after Naoko's secret departure back to the sanatorium, Jirō watches the test flight of his masterwork. His face suddenly changes and betrays the most appalling feelings. The last scene, following this test flight, starts with a nightmarish vision of Jirō's planes being destroyed, signaling World War II is over already. The landscape shifts to an endless meadow. Jirō is joined by his dream mentor, the aeronautical designer Caproni: They watch Zeros fly by and afterwards see a short apparition of Naoko, before she dissolves into the wind, after which Jirō and Caproni wander off. This reappearance of the deceased alludes to the novel's final chapter.

While we have so far seen a clear separation between two narratives, one centering on Jirō's professional work and one on the terminal illness of his love, with similarities regarding plot and images to Hori's novel being limited to only the second narrative, parallels in structure can be noticed throughout Miyazaki's movie: The omission of the war, which has been frequently commented upon, obviously parallels the omission of the

²⁵ Cf. HORI 1977a: 481, 502, 517.

²⁶ On Rilke's strong influence, cf. TOZUKA 2013.

heroine's death. Jirō's creations, his planes, are going to be destroyed. Yet, their destruction is not shown. They reappear as an apparition just as the dead woman does. Similarly, in the comic, while Naoko is no longer shown, apparitions of Jirō and Caproni visit the year 2009 to witness the first flight of a Zero-model.

Other structural similarities become apparent: Omissions of other central events²⁷ like Jirō's traveling around the world, but also breaks in the chronology where narrative elements are related in memories like Jirō's failure before visiting the mountain resort, in visions like Naoko spitting blood, or in dreams like the design of Jirō's masterpiece. Like Hori's book, Miyazaki's works are centered upon dreams, happiness, and life, not death and destruction. This has been further highlighted by a production note of the Studio on the film, one of the sparse commentaries on Hori's role for the movie: The movie "depicts a person who, based on [...] Horikoshi Jirō, incorporates the essence of his contemporary, the writer Hori Tatsuo, and tries to live cherishing every single day even while being torn to bits".²⁸ While sounding ambivalent, "essence" here seems also to refer to Hori's novels. In many of Hori's novels, there are few events and little plot, but in *Kaze tachinu* this is integrated into the narrative and self-referentially addressed by the first-person protagonist's thoughts and work. The discreteness of plot, even a lack of plot, with only a few events that could be counted as major, but also the depiction of daily life, dreams, visions, and memories in Miyazaki's comic and movie strongly allude to Hori's novel.

2 The Poeticity of Wind

Wind obviously is a dominant motif of the movie. Still, it is difficult to approach, as it is not only extremely rich and ambiguous in symbolism,²⁹ but also occupies a special position in Miyazaki's entire oeuvre, starting with the name of the studio, Ghibli, which refers not only to a plane designed by Caproni, but also to a Sahara-wind. Wind is featured in conspicuous ways in Miyazaki's other movies, so it is tempting to analyze his earlier works as starting

²⁷ The use of narrative ellipsis in the novel and the movie has also been noted by Lack (LACK 2014: 111).

²⁸ *Horikoshi Jirō o bēsu ni, dōjidai o ikita bungakusha Hori Tatsuo no essensu o torikomi, zutazuta ni narinagara mo ichinichi ichinichi o totemo taisetsu ni ikiyō to shita jinbutsu o egakidasu.* 堀越二郎をベースに、同時代を生きた文学者・堀辰雄のエッセンスを取り込み、ズタズタになりながらも一日一日をととても大切に生きようとした人物を描き出す。 (<http://kazetachinu.jp/prono.html>).

²⁹ Taking any generally acknowledged symbolic value of wind as a starting point seems to be too gratuitous. Sasaki points out the mythical significance of wind in Japan, adding the example of *kamikaze* 神風, which he probably does not (only) relate to the World War II suicide missions but to the historical topos (SASAKI 2015: 92). He also shortly reflects about pneuma and the souls of the dead (ibid.: 96).

points to understand this last one.³⁰ Conversely, *Kaze tachinu* might be productive for re-analyzing his entire oeuvre. Even if we are to treat this subject only in the movie *Kaze tachinu*, there are intermedial references to other works like the calligraphy “Great wind over the sky” (天上大風) by Ryōkan 良寛 (1758–1831)³¹ and the recitation of the poem “Who has seen the wind?” (1893) by Christina Rossetti (1830–94). As an exhaustive treatment seems impossible, this chapter concentrates on the motif of wind in Miyazaki’s movie and comic in relation to Hori’s novel *Kaze tachinu*, to find out if roles, contexts, functions, and symbolic meanings are related and can be seen as inspired by or possibly directly adopted from the book. As the poeticity of this motif is linked to its occurrence in the well-known verse, this is the most reasonable point of departure for any deeper analysis.

“Le vent se lève!... il faut tenter de vivre!” (“The wind rises!... one³² must try [or: venture] to live!”) This famous verse from Paul Valéry’s (1871–1945) *Le cimetière marin* (1920) is of central relevance for Hori’s novel as well as for Miyazaki’s comic and movie. All three of them share the same title, adopted from this verse. It is quoted in important scenes and affects the poeticity of the recurring subject of wind. While Valéry has been regularly mentioned as an influence on Miyazaki’s movie, especially by Western viewers unfamiliar with Hori, the impact of the complete poem – let alone other works of Valéry – on the movie or the comic is questionable.³³ Likewise, it seems uncertain in the case of Hori’s novel.³⁴ But even the possible implications of the single verse, notwithstanding the crucial role it plays for Hori’s and Miyazaki’s works, are altered by its translations.

Using the 5–7 morae typical for classical Japanese poetry, Hori chooses a very archaic language – reminiscent of the oldest poetry-collections in Japan – for his translation: “*Kaze tachinu, iza ikime yamo*” 風立ちぬ、いざ生きめやも。 The first part is actually in the literary

³⁰ Sasaki gives a short summary of the depiction and role of wind in Miyazaki’s other movies (ibid. 2015: 93 f.). A more detailed study on the topic is provided by Murase (MURASE 2015: 250–261).

³¹ Studio Ghibli’s production notes provide a possible interpretation for this quote: Even if there seems to be no wind on earth, a great wind above the sky – linked with Buddha’s compassion – is always blowing and watching over us (<http://kazetachinu.jp/prono.html>).

³² Although this is an indefinite pronoun in French, in the context of Valéry’s poem, a generalizable meaning or a first person singular’s perspective can be expected.

³³ Valéry’s poem is, with 24 strophes, quite long. Wind only appears in the last three strophes and signifies for the poet a return to himself after a quiet meditation on a wide array of things, including the sea, the sun, life and death, time, being and non-being. As Valéry connects and merges them in a constant flow, the motif of the wind and the imperative to venture to live are very hard to understand in their many implications. Cf. VALÉRY 1957: 147–151.

³⁴ Hori did not translate anything else by Valéry and rarely mentions him in his writings at all – quite in contrast to many other French poets and Rainer Maria Rilke. While only one verse by Valéry is of significance for the first four chapters of *Kaze tachinu*, the last chapter dwells much longer on Rilke’s poetry, cf. TOZUKA 2013. It is possible that Hori obtained his knowledge about Valéry from Rilke’s writings, as Hori knew about the influence of Valéry’s poetry on Rilke (HORI 1979: 271).

perfect tense, so “the wind has risen” already.³⁵ “Iza” translates as “well, then...”, linking the two sentences together more strongly. Similar to the French original, the subject of the second part of the verse is not specified and has to be guessed relating to the context. The Suffix “-me” after “iki-” (live) can indicate the future tense, an intention, a wish, a necessity, but also uncertainty and doubts, according to the context. This is provided here by the particle “yamo”, which implies a doubtful rhetorical question, and changes Valéry’s quite positive and energetic verse to one comprising the suggestion or even presumption of failure for any striving or wishing to live. The obligation or imperative visible in Valéry’s poem is undermined by this negative prevision.³⁶ Hori’s translation of the verse greatly changes its meaning and can be judged as very free, at best.³⁷

In Hori’s narrative, the verse is only quoted twice. The first occurrence is immediately after the first section: The couple is peacefully taking a rest under the birch one late summer afternoon. “Then, suddenly, out of nowhere, the wind rose.”³⁸ This wind throws Setsuko’s easel to the ground:

I held you, who were about to get up and go over, forcibly back, just as if I might lose something of this present moment, and I did not let you leave my side. You complied.

Kaze tachinu, iza ikime yamo.

³⁵ For the designation of the auxiliary verb *-nu* as “literary perfect” cf. MARTIN 1975: 574. While Valéry uses the present tense here, in his poem the wind does actually rise two strophes earlier already. While it is unclear how important the distinction is, it has led to some confusion (cf., for example, LACK 2014: 122).

³⁶ A direct translation could be: “Well, then: Will [or: shall/should/would/could/wishes] one live? – no, one will not!”

³⁷ As the archaic grammar is hard to understand, a large number of readers seems not to have noticed all its connotations. Among those who did, some have even deemed Hori’s translation of the title to be wrong, while others think Hori deliberately changed the meaning to go well with his work. Cf. WATABU 2013: 158 ff. We might bear in mind Rilke is also considered to have understood Valéry as it suited his own views. Rilke’s translations become new lyrical works, fitting well into his own oeuvre but differing from Valéry’s poems. One example in case is Rilke’s translation of “il faut tenter de vivre!” as “Leben: ich versuch es!” which defines the subject as “I” and drops the generalizable imperative. Even if not verifiable, it seems possible that Hori’s translation was inspired by Rilke’s. In an essay from 1936, Hori translates the verse into modern Japanese as “*Kaze ga tatta, ikin to kokorominakereba naranai* 風が立った、生きんと試みなければならぬ” (HORI 1977c: 240). Apart from the first part still being in the past tense, the second part is an accurate translation.

³⁸ *Sono toki fui ni, doko kara to mo naku kaze ga tatta.* そのとき不意に、何処からともなく風が立った (HORI 1977a: 452).

This verse, that had unexpectedly entered my mind and come out my mouth, while I put my hand on your shoulder leaning against me, I repeated it again in my mouth.³⁹

This verse seems to be inspired by the wind, evoking, as an invisible agent, the words of the verse in the protagonist's mouth without his doing. Contrarily, it might signify a concomitance, a close connection or even identification, as it is entirely unknown from where they both come. They denote not only the beginning of the narrative but, in contrast to the seemingly timeless opening, also set time itself into motion.

At first, the verse seems to be very positively connoted, showing a will to live, most probably in reference to the first-person protagonist or to both of them. The protagonist's wish to stay together with Setsuko is also implied. The deep impression of the first sequence's happiness is still present. Yet, as indicated before, the verse contains an ambivalent undertone: Life, and in consequence love and happiness, are endangered, delimited. The gust of wind occurring at this moment emphasizes this by damaging Setsuko's painting, luring her from the man's side, as, after the protagonist's repetition of the verse, she gets up and tries to retrieve it. She mentions her father whose due arrival threatens their relationship in this chapter. Other indications of the ephemerality of wind are "clouds like sand"⁴⁰ just before the wind's rising, and the tree's leaves in the wind.

The second and last quotation of the verse occurs in the second chapter:

These were happy days, even more heartrending, more lifelike than life itself, in a sense preceding life – to an extent that this verse,

Kaze tachinu, iza ikime yamo

[...], though we had long since forgotten about it, suddenly came back to life for us again.⁴¹

³⁹ *Sugu tachiagatte ikō to suru o-mae o, watakushi wa, ima no isshun no nanimono o mo ushinaumai to suru ka no yō ni muri ni hikitomete, watakushi no soba kara hanasanaide ita. O-mae wa watakushi no suru ga mama ni sasete ita.*

Kaze tachinu, iza ikime yamo.

Futo kuchi o tsuite dete kita sonna shiku o, watakushi wa watakushi ni motarete iru o-mae no kata ni te o kakenagara, kuchi no uchi de kurikaeshite ita.

すぐ立ち上って行こうとするお前を、私は、いまの一瞬の何物をも失ふまいとするかのように無理に引き留めて、私のそばから離さないでいた。お前は私のするがままにさせていた。

風立ちぬ、いざ生きめやも。

ふと口を衝いて出て来たそんな詩句を、私は私に靠れているお前の肩に手をかけながら、口の裡で繰り返していた。(HORI 1977a: 452 f.).

⁴⁰ *Suna no yō na kumo* 砂のような雲 (Ibid.: 452).

⁴¹ *Sore wa [...]*

Kaze tachinu, iza ikime yamo

While the illness has already broken out, the positive context of the verse is explained directly thereafter by the comment that the couple has started to prepare to leave for the sanatorium. The first person protagonist has earlier confessed an old dream of his to Setsuko: to live alone with a beautiful woman in the mountains (HORI 1977a: 464). Accordingly, he plans to go with her to the mountain sanatorium. Just before the quotation of the verse, with her condition a bit better, Setsuko declares that she somehow suddenly wished to live, thanks to the protagonist (ibid.: 467). Nonetheless, the sequence following the verse brings the doctor's visit and his inauspicious diagnosis, resulting in the anxiety of the first-person protagonist and signaling the difficulties and the tragedy to come. Now it is Setsuko's turn to calm him: "Don't be worried about it... From now on, let's really try to live as good as we can..."⁴²

Although the verse is not quoted anymore, since its first part constitutes the title of the book, it affects the whole work.⁴³ It is also conspicuously the title of the third chapter. The self-reference of the first-person protagonist's intention to write about their happiness, originating in this chapter, is strongly connected to the verse's first quotation, as implicit point of origin for his tale and first inspiration. The second quotation links it with Setsuko's illness and the underlying theme for their efforts to live.

In the third chapter, the first person protagonist's wish to live in the mountains seems to be fulfilled, but ill omens and the presence of death become more and more clearly discernable. Life in a sanatorium is defined as "dead end".⁴⁴ Fear, helplessness, and doubts arise. As the first and third chapters make out the original core of *Kaze tachinu*, we discern here that death lingered behind the verse from the very beginning as well. The verse becomes associated with death as the other, inseparable side of life, looming behind it and casting its shadow, thereby providing a contrast to life and accentuating its importance.⁴⁵ The motif of wind as a part of the verse in Hori's translation and in the context of the role

to iu shiku ga, sore kiri zutto wasurete ita no ni, mata hyokkuri to watakushitachi ni yomigaette kita hodo no, – iwaba jinsei ni sakidatta, jinsei sono mono yori ka motto ikiiki to, motto setsunai made ni tanoshii hibi de atta.

それは、[...]

風立ちぬ、いざ生きめやも

という詩句が、それきりずっと忘れていたのに、又ひょっくりと私達に蘇ってきたほどの、——云わば人生に先立った、人生そのものよりかもっと生き生きと、もっと切ないまでに楽しい日々であった。(ibid.: 468).

⁴² „*Konna koto ki ni nasaranaide ne... Watashitachi, kore kara hontō ni ikirareru dake ikimashō ne...*“ こんなこと気になさらないでね……。私達、これから本当に生きられるだけ生きましょうね…… (ibid.: 471).

⁴³ This is further emphasized by the use of the verse in French as an epigraph to the fourth chapter when the episode was first published. In the completed book, this epigraph has been moved to the opening of the first chapter.

⁴⁴ *Ikidomari* 行き止まり (ibid.: 479).

⁴⁵ The complexity of the poeticity thus evoked is underestimated by Lack who proposes a simple dichotomy (LACK 2014: 107).

of the verse for the narrative adopts these connotations of life and happiness before a background of death and inexplicable anxiety. It underscores the wish to go on to live together, the possibility of which seems more and more remote, and serves as a reminder of seemingly eternal, yet foregone happy times together.

While Miyazaki adopts Hori's title for his comic, the complete verse is not quoted. Still, Miyazaki freely refers to its first part. In the end of the first chapter, when we see the young Jirō dreaming about Caproni's planes, being incited to create something beautiful and taking a vow to become a designer, the commentary is added: "And thus the wind rose..."⁴⁶ Like in the novel, it indicates a beginning – of the tale of Jirō's life. This connection with a dream and life shows parallels to the broader context of the verse as a central theme in Hori's book, although its content is different.

Conspicuously, in connection with wind, Miyazaki in the comic directly quotes another work written by Hori. In the third chapter, Jirō meets the "real" Hori Tatsuo (see below, part 3). They have a short conversation, in which the engineer recounts that on the occasion of his planes' first flight tests, he would always get a feeling similar to one he associates with one of Hori's poems.⁴⁷ Afterwards he recites a part of it: "Wind seeps into my skin / As under the skin / There are violins of bones / Will not the wind all of a sudden / Make them resound?"⁴⁸ This surrealistic imagery reminiscent of shamanism or esoteric Buddhism might conjure up images of illness or death. Yet, the poem can on the other hand be understood as referring to artistic inspiration, creativity, and beauty. Freely making use of the inherent openness of the verse's poeticity, Jirō connects it to his own work. When Hori afterwards encourages him to create a beautiful plane, Jirō experiences a vision marking his professional breakthrough: "Suddenly, wind blew through Jirō, and he could see his own plane".⁴⁹ Poetry becomes a prominent source of inspiration, imagination, and creativity in connection with technology. It is the polyvalence, the inherent freedom to associate, interpret, and think independently from common logic, that bestows poetry this power.

Additionally, in the comic, the imperative of the original verse is shifted from the second to its first part: When Jirō for the first time searches for an inspiration, a narrative comment adds: "The wind has to blow."⁵⁰ Jirō remembers these words again in the last chapter (MIYAZAKI 2015: 54). He is close to his professional breakthrough, so the sentence

⁴⁶ *Kakute kaze wa tatta...* かくて風はたった... (MIYAZAKI 2015: 7).

⁴⁷ The first two lines of this poem, first published in 1927, are omitted in the comic and here. See HORI 1978a: 324 and cf. RUCINSKI 1977: 24 f. for a differing, complete translation.

⁴⁸ *Kaze wa boku no hifu ni shimikomu / kono hifu no shita ni wa / hone no vaiorin ga aru to iu no ni / kaze ga fui ni sore o / narashi wa senu ka.* 風は僕の皮膚にしみこむ/この皮膚の下には/骨のヴァイオリンがあるというのに/風が不意にそれを/鳴らしはせぬか。 (MIYAZAKI 2015: 21).

⁴⁹ *Totsuzen kaze ga fukinuketa Jirō ni jibun no hikōki ga mieta.* とつぜん風が吹きぬけた次郎に自分のヒコウキがみえた。 (Ibid.: 21).

⁵⁰ *Kaze ga fukaneba.* 風がふかねば。 (Ibid: 18).

either relates to the eventual use of his planes for war and their consequent destruction, or to Naoko and her illness, as he afterwards visits her in the sanatorium.

References are confined to the plot centering on Jirō's work, thereby associating the verse – and Hori's novel – with trying to live one's dream, inspirations, and creativity. This plot sequence seems to be quite positive in meaning, yet its tragic ending is well-known. No direct references to the verse are to be found in the plot centering on Naoko. The adaptation of the book in the latter half of the comic again displays rather a parallel and side-story.

In Miyazaki's movie, the role of the verse is noticeably enlarged. Already the first preliminary first movie poster additionally featured the second part of Hori's translation "*iza ikime yamo*" for its motto, completing the verse. When we consider the difficulties for contemporary readers to understand the archaic language, it is not all too surprising that Miyazaki later opted for translations into modern Japanese. When the promotion actually started, the catchphrase was changed to "*ikineba*" 生きねば⁵¹ – "[one] must live!" This strong imperative indicates Miyazaki's reading of the verse, as it was also the final sentence in his epical comic *Kaze no tani no Naushika* 風の谷のナウシカ⁵² (English title: *Nausicaä of the Valley of the Wind*).

The movie, directly after displaying the title, shows Valéry's verse with Hori's translation, explicitly pointing the writer out as translator. Yet Hori's version is not used in the rest of the film, as Miyazaki switches again to translations into the modern language. The first and only complete recitation of the verse in Japanese takes place when Jirō and Naoko first meet. While riding on a train, Jirō's hat is blown off by the draught, and Naoko, who happens to be standing close by, catches it. She addresses him with the first part of the original French verse, which Jirō then completes. Afterwards, Jirō adds the exact translation: "*Kaze ga tatsu, ikiyō to kokorominakereba naranai*" 風が立つ、生きようと試みなければならぬ。 Again the verse occurs in a beginning: It is the first scene after Jirō's childhood and it is the first meeting with his later bride. Similar to the book, it is set in motion by an airstream – the wind as actor. Linking the verse to the plot centering on love and fatal illness constitutes a major divergence from the comic and deepens the symbolic reference to Hori's book, although the plot moves away from it. Even if it is the only direct reference to the verse in this plotline, significantly, this narrative is closed by Naoko's apparition at the end of the movie, urging Jirō to live on.⁵³

⁵¹ While a direct translation would be "if [any grammatical person] do[es] not live on...", thereby showing some degree of vagueness and doubt as in Hori's translation, the most common reading would be as an imperative "must try to live", being the shortened form of "*-neba naranai*".

⁵² Cf. MIYAZAKI Hayao 1995: 223. The seven parts of the comic were published between 1984 and 1995.

⁵³ She says "*Ikite!*" 生きて! ("Live!"), an informal plea, and repeats it.

As in the comic, the verse is connected again with the main plot centering on Jirō's dream and work constructing planes. In the movie, Caproni's role as imaginary mentor is enlarged. He appears in four dreams, regularly talking about beautiful and cursed dreams, which are identical to each other: Beautiful planes with a cursed fate. Structurally close to the first-person protagonist's dream in Hori's book, the eventual fulfillment of this dream encloses doubts, fear and death.

When Jirō helps to fight the fires after the earthquake – the wind has changed and nourishes the flames – Caproni appears the second time, now in a day-dream, and asks him if the wind is still blowing. Jirō answers, yes, a big wind. Caproni continues: "*Ikinaba naran!*" 生きねばならん ("You have to live"), and additionally quotes the verse in the French original. Like in the movie's catchphrase "*Ikinaba*", the imperative shifts from "trying" to "living" itself. In both modern translations of the second part of the verse, living entails a much stronger imperative than in Hori's version, regardless of the eventual outcome. Likewise, when Jirō visits Germany, Caproni, whose appearance marks the beginning of a dream, greets him with the same question. He tells Jirō about a period of ten years in which people have to live to the full extent of their genius to fulfill their dreams and likens this span to the wind that rises, blows on and finally is exhausted – a notion not related to Hori at all, yet becoming tied in to inspirations taken from him.⁵⁴ In the last dream-vision at the end of the movie, Caproni accordingly asks Jirō if the wind is exhausted. Now, although everything Jirō had cherished has been taken from him, Caproni still urges him on: "You must live."

Compared to the comic, Miyazaki's movie is far closer to the book in its use of the poetical potency. The verse is also used to generate a structured narrative, by trying to aid in merging the two plotlines. By not using external commentaries, but having the protagonist quote the verse, the poem is in addition more strongly personalized. Still, to find out if and how the motif of wind in the verse affects the depicted motif of wind as a natural phenomenon, or to what extent this in return influences the verse, these elements must be analyzed in their contexts and functions.

In Hori's novel, wind as a meteorological phenomenon is only connected on its first appearance simultaneously to the poetical motif of the verse and thereby to the self-referential narrative structure of dreams, memories, life, happiness, doubt, fear, and death. It is the only wind in the book to directly intervene into the couple's life as an invisible agent out of nowhere, destroying the creativity and beauty of Setsuko's painting and inducing the first-person protagonist to try to hold her back at his side, feeling as if he might lose something of this moment. We might therefore propose this decisive occurrence of wind at an intersection between nature and lyric to symbolize the wish to

⁵⁴ Miyazaki acknowledges the notion of spent energy to originate with the writer Hotta Yoshie 堀田善衛 (1918–1998) (<http://kazetachinu.jp/prono.html>).

approach, live and hold on to the present moment which is always at stake. Wind occurs in a liminal time between the past that seems to be surrealistically eternal and paradoxically both unattainably gone yet present all the while, as the protagonist often tries to evoke its vision, and the future, marked by dreams and hopes as well as fears and doubts, since – at the time the self-referential narrative is narrated to be written down in the third and fourth chapter – only death can be discerned with certainty.

A rather positively connoted wind occurs in the second chapter, just before the above described exclamation made by Setsuko that she suddenly wanted to live thanks to the first-person protagonist. They both stand silently outside, watching the garden of her home, “[...] as if it were even slightly possible to hold fast onto this present life that was like the scent of these flowers”.⁵⁵ A “soft wind” now and then blows “somehow like breath” through the hedge, lifting up leaves close to them, but leaving the couple untouched.⁵⁶ With Setsuko’s slight recovery and plans to go together to a sanatorium, there is hope for their dream to live together. Their connection is much stronger than in the first chapter. Yet, while the wind is unintrusive, it is again connected with the ephemerality of life. The fear to lose something of the moment has substantiated into a fear to lose life itself.

Most winds occurring at the sanatorium take on distinctively threatening characteristics. This applies even to the first occurrence when the first-person protagonist feels strongly disconcerted after their arrival and so passively watches the weather outside; the wind is dragging oppressively at black clouds and tears piercing sounds from the woods (HORI 1977a: 476). A particularly terrifying wind blows after the first-person protagonist reveals to Setsuko that he cannot find an end for his tale, tearing sounds out of the woods and rattling the windows. As if frightened, Setsuko holds the first-person protagonist’s hand while they silently listen (ibid.: 519 f.).

In Hori’s novel, many winds and storms rise and abate, too many to be dealt with exhaustively here.⁵⁷ Doubts arise in the reader about their significance, as their meaning seems to be changing, to be open to many interpretations. As a herald of change, wind changes together with the seasons. Yet, there often seems to be a correlation to the feelings, thoughts, and physical conditions of the couple. This is not always possible to tell, as the first person protagonist’s narrator’s voice regularly raises doubts even about his

⁵⁵ [...] *Kō iu hana sakiniou yō na jinsei o sono mama sukoshi de mo hikitomete oku koto ga deki de mo suru ka no yō ni.* [...] こういう花咲き匂うような人生をそのまま少しでも引き留めて置くことが出来てもするかのよう (HORI 1977a: 466).

⁵⁶ Cf. HORI 1977a: 466: *Tokiori yawaraka na kaze ga mukau no ikegaki no ma kara osaetsukerarete ita kokyū ka nan zo no yō ni oshidasarete, watakushitachi no mae ni shite iru shigemi ni made tasshi, sono ha o wazuka ni mochiagenagara, sore kara soko ni sō iu watakushitachi dake o sokkuri kanzen ni nokoshita manma tōrisugite itta.* ときおり軟らかな風が向うの生牆の間から抑えつけられていた呼吸かなんぞのように押し出されて、私達の前にしている茂みにまで達し、その葉を僅かに持ち上げながら、それから其処にそういう私達だけをそっくり完全に残したまま通り過ぎていった。

⁵⁷ Teramoto offers an extensive overview (TERAMOTO 2009: 39 f.).

own inner workings.⁵⁸ Many feelings, thoughts, and dreams are often only hinted at or not spelled out at all.

A particularly mysterious wind is depicted in one of Setsuko's dreams. Anticipating her own death, she lies in a coffin and watches the barren winter landscape. Meanwhile, she hears the tone of the lonely wind blowing in the firs, audible even after she wakes up. (ibid.: 490). This wind is clearly connected with death, yet its meaning remains questionable.

In such ways, wind sometimes seems to symbolize or even represent death as the background for living, as a motivation to live or as a threat to life. Yet, the overall depiction of wind with its mysterious, liminal character seems rather to bridge life and death, to indicate that both belong together and even depend on each other. Of course there are still winds blowing after Setsuko has died. In the last chapter, an accidental remark by a strange German Catholic priest about such a beautiful blue sky only being visible when it is a cold, windy day, strangely touches the first-person protagonist's heart (ibid.: 540 f.) On his return after this unexplicable feeling, he receives the poem *Requiem für eine Freundin* by Rilke, marking another turning point. With musing's over this poem linking living and dead, as well as long walks and contemplations of nature and weather, in the last section of the book the first-person protagonist finally arrives at the conclusion of being neither happier nor unhappier than other people (ibid.: 545). After these final thoughts, he listens to harsh wind blowing far away, while the valley he lives in rests nearly windless. Thereupon, he declares the name of the location as given by foreigners as *Valley of Happiness* to be very appropriate, although it had earlier been named *Valley of the Shadow of Death* (ibid.: 546). This shift of mind not only points at a recovered will to live, but also at the complex poeticity of wind linking life and death as two sides that are mysteriously interconnected. Wind remains liminal and inscrutable, as the novel ends with the first-person protagonist listening to the raging winds in the distance and some quiet tones made by weak winds arriving from there to the trees behind the cabin. "Next to my feet, as well, something like a remainder [or: surplus] of this wind somehow moved two or three fallen leaves over other fallen leaves, raising a weak, rustling sound".⁵⁹

Hori is careful not to betray his aesthetic, lyrical style by deploying all too easy symbols. He often manages to create an atmosphere where things seem to withhold a hidden meaning that remains ungraspable and unknowable just as the wind itself, which arises from unknown places and passes invisibly, only showing itself in rustling leaves. Other meteorological phenomena and many parts of nature, depicted aesthetically and poetically

⁵⁸ Cf. ibid.: 41.

⁵⁹ *Mata, dō ka suru to sonna kaze no amari-rashii mono ga, watakushi no ashimoto de mo futatsu mitsu no rakuyō o hoka no rakuyō no ue ni sarasara to yowai oto o tatenagara utsushite iru.* 又、どうかするとそんな風の余りらしいものが、私の足もとでも二つ三つの落葉を他の落葉の上にさらさらと弱い音を立てながら移している。(HORI 1977a: 547).

by Hori, share the mysterious and liminal characteristics of wind. These include storms, snow and clouds, fogs, vapors and shimmering air, light and shadow, noises from unseen sources. Similar to the wind, they seem to be connected with feelings, memories and thoughts of both protagonists. Their significance remains outside the grasp of the first-person narrator and of the reader with him. Nature is awe-inspiring but mysterious, without any clearly discernable, concrete symbolic value. It remains ungraspable, unknowable and ephemeral, just like the wind itself.

Most if not all spaces depicted in the novel betray liminal characteristics,⁶⁰ even the eternal mountain scenery changes with the time of day, the seasons, and meteorological phenomena, and participates in the poeticity of verse, dreams and doubts. When, in the first chapter, in the evenings of the timeless summer, the couple sits and watches the clouded horizon, “from this horizon, where it started to grow dark, it seemed as if, to the contrary, something was born.”⁶¹ In the end of the first chapter, the protagonist sees this horizon without clouds, with mountain ridges far away revealed. He grows aware of something hidden within him, of what nature has assigned for him (ibid.: 457). In the fourth chapter he finds out that this mountain on the horizon is none other than the mountain next to the sanatorium (ibid.: 512). He remembers the dream of living together with Setsuko, fulfilled now under just this mountain. The mystery of the horizon still lingers on: What was about to be born behind it? This mountain or the wind? Life or death? A dream which turns out to be much sadder than hoped, bringing doubts and fear? The poeticity of Hori’s novel offers many clues, bringing together even opposites, without providing clear answers.

Representing profoundly different mediums, book, comic, and film accordingly diverge in their depiction and contextualization of wind. The movie makes use of being the best medium to depict the movement of the invisible motif and features the largest number of winds. As it is shown often and prolonged, it gains contexts and connotations. In the comic, on the other hand, much less wind is depicted, and it is less discernable due to the medial limitations. The liminal and mysterious character of the wind or other phenomena is harder to express in both works, as they always become involved in the imagery. Of the many depictions of wind, sky and landscape in the movie,⁶² the scene best representing the above seen poeticity is when Jirō, after Naoko’s secret departure, suddenly watches

⁶⁰ Lack points out that Karuizawa is a liminal space, but underestimates its significance (see below, section 3) as well as the liminality of other locations (LACK 2014: 106, 111).

⁶¹ [...] *Kureyō to shikakete iru sono chiheisen kara, hantai ni nanimono ka ga umarete kitsutsu aru ka no yō ni...* [...] 暮れようとしかけているその地平線から、反対に何物かが生れて来つつあるかのように…… (HORI 1977a: 452).

⁶² Lack shortly compares the depiction of landscapes, clouds etc. in the novel and the movie (LACK 2014: 107 f.).

the horizon and his face betrays intense, negative emotions. Conspicuously, all sounds fade away, but a wind rises.

Wind is regularly depicted in context with the above treated occurrence of quotes and references to the verse. Thereby winds participate in its poeticity and also emphasize its bearing on the narrative. Concerning the plot centering on Naoko, in the comic, going along with the omission of direct references to the verse, there is nearly no wind portrayed. It occurs mostly in the context of the paper planes, as a paper plane gets Naoko's attention seemingly by accident, but the beginning of its flight is commented as "catching slight winds".⁶³ Wind is depicted also when Jirō, while designing his special paper plane, has a daydream of Naoko painting on the meadow (MIYAZAKI 2015: 37), and on a sketch in a chronology of plane designs and events leading to war, where, in the column of 1933, Naoko paints on the meadow, while Jirō, losing his hat, lets a paper plane fly (ibid.: 35). Headed "Jirō's summer", it captures the timeless beginning of Hori's book.

In the movie, wind has an active function in the plot centering on Naoko. As invisible agent, it initiates both their meetings and consequently the whole narrative. While this resembles the book's use of the motif, wind is depicted in new, more cheerful contexts. One example would be Jirō's hat blown into Naoko's hands, and later Naoko's parasol and hat blown into Jirō's hand, playfully emphasizing the connection between them. Naoko underlines the positive role of wind with her statement that she loves Jirō since the wind brought him to her. Yet, just as in the book, wind is also negatively connoted, showing an ambivalent character. In Jirō's vision of blood spilling out of Naoko's mouth onto her painting, a sharp wind is blowing.

Strong wind is also depicted in the last scene of the movie, blowing over the grass-plain of Jirō's dream. Just as Hori's book equates the Valley of the Shadow of Death with the Valley of Happiness, Caproni identifies this "Kingdom of Dreams"⁶⁴ both with hell and paradise, the beginning and end of beautiful and cursed dreams. Then, Naoko appears, urges Jirō to live on and dissolves into wind, to which Caproni comments: "She is like a beautiful wind".⁶⁵ Not only does this apparition resemble the book, in which the protagonist feels Setsuko's presence after her death and even converses with her, but in addition, the liminality and mystery inherent in the motif of wind in the book find expression in this scene. The equation of Naoko with the wind is intriguing and connects her role to the poeticity which has been generated by the verse and the motif of wind. It might refer to the fleetingness of her life, or, in the context of the verse, to her struggle to live. It might also point to Naoko's role as muse, inspiring and motivating the protagonist's work which he explicitly acknowledges when he has finished his design. Miyazaki's equation of the woman with the wind cannot be found in the novel, yet it relates it to

⁶³ *Wazuka na kaze o toraeta*. わずかな風をとらえた。(MIYAZAKI 2015: 35).

⁶⁴ *Yume no ōkoku* 夢の王国.

⁶⁵ *Utsukushii kaze no yō na hito da*. 美しい風のような人だ。

many of its contexts and roles described above. Naoko as a wind might even symbolize Hori's work, as being the inciting inspiration for Miyazaki.

Parallel to the depiction of winds in the plot centering on Naoko, winds are featured in connection to Jirō's work, emphasizing genius, inspiration, creativity, and innovation. Wind is perpetually coupled with dreams and visions. It is referred to and shown to blow when Jirō meets Caproni, calling him regularly back to his vocation as engineer and emphasizing the need to live and work on in times of crisis. Wind is also associated with Jirō's actual work: When he starts working the first time, wind is not only depicted outside of the office's window, an imaginary storm starts to engulf Jirō. Furthermore, every time Jirō gets to a breakthrough in his designs, the movie switches to vision-like states featuring strong winds. This positive depiction has its negative equivalent. When Jirō fails in his work, wind takes on threatening characteristics, blowing, for example, his hat away before one of his planes crashes.

Miyazaki is also productive in broadening the symbolic significance of the motif beyond what can be found in Hori's novel. One additional association of the wind is with modernity itself in the form of technical progress. Wind is coupled with trains as airstreams and of course with the whole process of aerodynamics: Planes generate it themselves and need it to fly. As usual in Miyazaki's movies, the symbolic value of scientific progress extends far into ambiguity as well. *Kaze tachinu* delves deeply into the aesthetics of planes. Yet, their potentially destructive power as tools of war and harbingers of death follows closely along. Creation and destruction of planes parallels the tragic love narrative with the associated motif of wind.⁶⁶

In the comic, underlining this main plot, winds are depicted in connection with planes in a fashion similar to the movie. The role of the paper planes is also extended in this regard. In the sixth chapter, where planes are otherwise only featured in the above-mentioned uncanny chronology of war planes, paper planes provide a stark contrast. Jirō's second paper plane is referred to as a "white bird that flies on the winds of the green plains".⁶⁷ This peaceful design anticipates Jirō's master piece. While the paper plane is just as short-lived as the A5M – when it gets wet on its virgin flight, it cannot fly anymore and shares the fate of Jirō's later designs – it is peaceful and not suitable for war. It represents the link between the two narratives, as Naoko declares her wish to stay healthy until the plane based on the white bird-paper plane will fly (cf. MIYAZAKI 2015: 39). She even brings the paper plane as talisman to the sanatorium, but dies before the A5M is tested. In the end, just as in the movie, his creation is destroyed. Without depicting it, its "sad" fate is shortly commented as "violent wind" (*reppū* 烈風; *ibid.*: 57).

⁶⁶ On modernity and technology in the movie cf. BREEN 2016.

⁶⁷ *Nohara no kaze ni notte tobu shiroi tori*. 野原の風にのってとぶ白いとり。 (MIYAZAKI 2015: 36).

While wind in the movie regularly serves to underline jumps in the timeline of the plot, symbolical of change – it is windy, for example, when the young Jirō walks off before the cut to his student time in 1923 – it is also linked to major devastating events in history. The first such event, occurring without warning, is the Kantō earthquake in the scene immediately following the first recitation of the poem.⁶⁸ While having visual similarities to the approaching gust of wind later on the mountain meadow, it turns into a firestorm, foreshadowing the destruction of Tōkyō in World War II.⁶⁹ Likewise, Jirō views the first victims of the Great Depression in a strong airstream from a train. It might be argued that it is the unfolding and working of history itself that is emphasized by the motif. Sasaki suggests the title “*Kaze tachinu*” as a reference to the raging storms of the era (SASAKI 2015: 92). The portrayal of the historical era as a “difficult time to live” has been ranked a central topic of the movie.⁷⁰

Winds are also depicted in the nightmarish visions of the coming war and the devastation it will bring. Beautiful dreams and the will of the protagonist to realize them are linked to the wind, but they have as their inextricable reverse side cursed dreams, as declared by Caproni in the movie and Miyazaki himself on different occasions.⁷¹ Both the tragedies of Naoko’s death and of the planes causing deaths and being destroyed themselves are predicted in nightmares and visions and are intimately connected with beautiful dreams. The question of guilt⁷² is left open,⁷³ as it remains unclear whether the

⁶⁸ The sound of the quake is quite unique, as Miyazaki uses human voice actors hissing and roaring, a technique that is used also for other sounds like motors and storms. It is unclear, though, if Miyazaki tries to hint at a link between wind and breath like the Hebrew *ruah* (רוּחַ) that could be widened to the soul or the fatal respiratory illness. As shown above, Hori also likens wind to breath once.

⁶⁹ The beginning of the new post-Kantō-Earthquake and pre-war era is marked by the immediate danger of the firestorm to the university, its books and the entire city by the alerting exclamation: “The wind has changed!” (*Kaze ga kawatta!* 風が変わった!).

⁷⁰ More precisely, Miyazaki’s goal would have been to portray someone who tried to follow his dreams “despite the difficult age he lived in” (cf. AKIMOTO 2014: 46).

⁷¹ Cf. for example the documentary movie *Yume to kyōki no ōkoku* (2013; English title: *The Kingdom of Dreams and Madness*). The topic of positive and negative sides of dreams in *Kaze tachinu* is treated in detail in SASAKI 2015: 82–86. He interprets Caproni’s and Jirō’s dream of flying as a wish to become themselves like the wind (ibid.: 86), a wish expressed explicitly in *Tonari no Totoro* となりのトトロ (1988; English title: *My neighbor Totoro*) (cf. ibid.: 98).

⁷² This pertains also to Jirō’s egoistically having Naoko live with him, quickening her demise. Yet, one might argue as Murase does, linking Hori to Defoe and Camus, that Jirō ignores the danger of infecting himself with tuberculosis by living close to Naoko (MURASE 2015: 244 f.).

⁷³ In this context, a possible reference to *Faust* should be mentioned. While not explicit in movie or comic, Miyazaki purportedly told Caproni’s voice cast to think of the Italian designer’s role as someone like Mephistopheles in *Faust* (cf. MURASE 2015: 233). In an analogy to *Faust* we would obviously have to identify Jirō as Faust and Naoko as Gretchen. Ignored by Western critics, this reference has been treated by Murase (MURASE 2015: 230–235) and Sasaki (SASAKI 2015: 81 f.). Murase’s observation that Valéry wrote a version of *Faust* seems dispensable, as this *Faust*

cursed dreams become reality because of inevitable natural laws or because of the protagonist's striving to realize his vocation. The whole topic of war is critically portrayed by broadening the poeticity of Hori's translation and use of Valéry's poem and the pertaining themes. Yet, likewise, linked as it is to a fatal illness, there is no escape visible, no means of resistance. In this quite negative vision of the seemingly inevitable unfolding of history, only the imperative to live is left. Jirō has to live, to work and to love regardless of death, destruction, and war looming in the near future. Even after everything he cherished has been erased at the end of the movie, he has to move on and live.

3 The Main Protagonist's Multi-Layered Identity

Jirō, as he is depicted in Miyazaki's movie, seems to be a realistic and close representation of the historical Horikoshi – sharing the same name, living in the same time, and designing the same planes.⁷⁴ Comparing Horikoshi's biography to the life of Jirō, the most striking divergence is found in the narration centered on Naoko and her illness. Horikoshi's real wife was called Sumako 須磨子, lived a long life and had children with him. While this fact is betrayed neither in movie nor comic, it was noticed by informed viewers and has since been regularly hinted upon by critics. Yet, there are many other deviations from Horikoshi's biography.⁷⁵ This tinges the whole movie in a subjective, fictional light, counteracting other markers of authenticity and exposing the movie as Miyazaki's own creative invention. While Miyazaki has repeatedly declared his biography of Horikoshi to be fictional,⁷⁶ this fact is not explicitly disclosed in the movie. In the promotion, statements like the mentioned "real persons as models" on the movie's homepage instead tend to veil this fictionality.

Reflecting the context of Miyazaki's homage to Hori, Sasaki stresses that *Kaze tachinu* is neither a work of biography nor of non-fiction (SASAKI 2015: 88). Instead, he views Hori's sanatorium novels as an important inspiration in order to illustrate – in contrast to pure biography – history in a fresh and authentic way, evoking the atmosphere and real feelings like the depicted pure love (ibid.: 88 f.). Still, in contrast to a large number of freely

shows no similarities to *Kaze tachinu* at all. In this context it might rather be added that Hori's *Utsukushii mura* starts with a quote from Goethe's *Faust: Der Tragödie zweiter Teil* (HORI 1977a: n.p. [330]).

⁷⁴ In this article, the protagonist of both movie and comic will be called Jirō to differentiate him from the historical person Horikoshi.

⁷⁵ To give an example, Horikoshi did not have a sister. Still, it seems Horikoshi did not reveal much of his private life, which gave Miyazaki the opportunity to be inventive. On the other hand, as Sasaki suggests, Miyazaki perhaps did not want to poke into the designer's private life (SASAKI 2015: 88).

⁷⁶ Miyazaki even called the whole movie "complete fiction" (*kanzen na fikushon* 完全なフィクション; cf. KANŌ 2015).

contrived fictions, the realistic style of the movie, together with the depiction of actual historical events and historical details, is highly productive in affecting its reception. Nowhere in the movie are historical facts explicitly dissociated from the fictional parts. Neither are they explained to uninformed viewers.⁷⁷

This represents a stark contrast to Miyazaki's earlier comic. Thanks to its drawings of locations, planes etc., it also seems to be quite realistic. It is quite artistic, handwritten and water-colored, showing Miyazaki's dedication to it. While being serious and committed to historical and technical details like the movie, it is also often playful and experimental, including fictional and even surrealistic elements⁷⁸ – the majority of protagonists (excluding Hori, Caproni, Naoko and other women) is drawn with pigs' faces.⁷⁹ Yet, the major difference to the movie are the many added commentaries. These are often self-referential meta-texts, posited in- and outside of the comic frames, even in between them. Many times, they are voiced by a stylized pig-Miyazaki himself. Some of the comments concern the fictionality of several scenes, some on the other hand give information about historically accurate depictions – like Hori smoking cigarettes even though he had tuberculosis himself (MIYAZAKI 2015: 21). They explain historical events, economy, politics, military and war, adding charts and graphs with historical data etc.

Through such meta-comments, the title of Hori's book is also directly referred to in the narrative. The first occasion is when the "pig-narrator" Miyazaki gives an introduction about tuberculosis and sanatoriums, naming Thomas Mann's (1875–1955) *Der Zauberberg* (1924) and Hori's *Kaze tachinu* as two literary works that treat the topic (MIYAZAKI 2015: 44). Explicit comments and references such as this embed the plot into the broader history, as a generalizable and exemplary narrative of what can be conceived to have, tragically, been a common fate in Japan and around the globe at that time. A second such comment ends the last scene with Jirō and Naoko in the sanatorium, indirectly indicating her fate: "In the following year, 1935, Hori Tatsuo went to a sanatorium with his fiancée Yano Ayako and later wrote his famous works *Kaze tachinu* and *Naoko*" (ibid.: 56). By invoking the title of Hori's book in its narrative, the comic seems to create distance to it by presenting it as a distinct work of literature. Yet, at the same time, it strongly relates to it by emphasizing parallels and similarities. Additionally, the main protagonist Jirō, by being involved in

⁷⁷ Miyazaki reflects on his mixture of historical facts and fictional parts in HANDŌ and MIYAZAKI 2013: 33 f., 64, 93 f., 185.

⁷⁸ This is also referred to by the subtitle of the comic *Miyazaki Hayao no mōsō kamubakku: mōsō* 妄想, "delusion", "illusion" or "wild fantasy" might be understood as qualifying either the "comeback" or Miyazaki himself. Especially in the latter case, the fictionalization of the work is pronounced. As indicated by "comeback", Miyazaki had earlier published two comics under the subtitle *mōsō nōto* 妄想ノート, unrelated in content, but showing some stylistic similarities.

⁷⁹ In some earlier comic's, Miyazaki also made use of pigs' faces, most notably in the protagonist of a short strip adapted as the movie *Kurenai no buta* 紅の豚 (1992; English title: *Porco Rosso*). Cf. PENNEY 2013b: 3, 6.

narrative sequences similar to the book's plot, images, locations etc., shares Hori's first-person protagonist's experiences. This is emphasized by the parallels between the two characters Naoko and Setsuko, as described above. Thereby, it can be inferred that Jirō, at least in this part of the narrative, represents the first-person protagonist of the novel.⁸⁰

In this context, we additionally need to consider that Hori's novel *Kaze tachinu* is autobiographically inspired, suggested already in the narrator's profession and the stylistic and narrative peculiarities. The autobiographical background of the novel is commonly known, as it is generally directly accessible to Japanese readers by paratexts to the novel. Many articles and academic papers are devoted to this relation as well. We are well-informed that Hori's fiancé, Yano Ayako 矢野綾子 (1911–1935), died in the Fujimi sanatorium on the 5th December 1935, one day after the fourth chapter of the novel breaks off. This extra-textual knowledge adds a dramatic dimension to the novel.

We still have to be very careful not to overrate the biographical similarities, pronounced as they are.⁸¹ Undisputedly, the general outline of the narrative resembles Hori's own and Ayako's biographies, the meeting with her, her illness, and their life in the sanatorium together.⁸² Yet, some verifiable details differ, indicating a degree of fictionality not to be underestimated. To name but a few, Hori did not work on a story of their happiness while in the sanatorium.⁸³ Also, in reality he did not stay all the time at Ayako's side but made trips to Tōkyō.⁸⁴ Showing some symptoms of being sick, the first-person protagonist never states that he is suffering from tuberculosis like Setsuko, while Hori

⁸⁰ Sasaki identifies Jirō in the tragic love narrative with Hori's protagonist (SASAKI 2015: 88). Cf. also Lack who identifies Naoko as Setsuko and Jirō as "characterized akin to Hori's narrator" (LACK 2014: 106).

⁸¹ Hori himself disapproved of autobiographical writings belonging to the immensely popular and widely spread genre known as *shishōsetsu* 私小説 (I-novel). The specific connotations of the term have led to different estimations about Hori's literature. As *shishōsetsu* is seen as a typically Japanese practice, Hori was even rated as not writing in this genre because Karuizawa and many other subjects in his novels are tinged with European flair (RUCINSKI 1977: 21). Hori is rather to be seen in relation to Akutagawa Ryūnosuke (1892-1927), and Japanese modernist circles around the young Kawabata Yasunari (1899-1972). Beyond that, he was devoted to French and German literature, with Marcel Proust (1871-1922) and Rainer Maria Rilke, among others, being cited as strong influences on his *Kaze tachinu*. Rucinski points out: "Even in works which critics take as the most autobiographical, it cannot be automatically assumed that we are seeing an unadorned Hori. His heroes amount to a kind of self-creation, not a betrayal of the self he was." (RUCINSKI 1977: 82).

⁸² Rucinski suggests that Hori himself later maybe felt that *Utsukushii mura* and *Kaze tachinu* were too autobiographic (ibid.: 151).

⁸³ While Hori in reality wrote *Monogatari no onna*, the protagonist of *Kaze tachinu* writes a story that can be identified with the first three chapters of the novel. Both, however, express dissatisfaction with their respective works. Cf. HORI 1978a: 239.

⁸⁴ Hori's letters from the time at the sanatorium can be found in HORI 1978c: 108–114.

contracted it long before in 1923 and after nearly thirty years of recurring attacks finally succumbed in 1953 (RUCINSKI 1977: 25).⁸⁵

In the novel *Kaze tachinu* as well as in the movie and the comic, fictionalizing and authenticating elements can be found next to each other, working in both directions. While Ayako's name is changed to Setsuko, Ayako and Setsuko share their passion to paint. As Naoko is also shown painting, she obviously represents both Ayako and Setsuko.⁸⁶ Naoko's name additionally refers to Hori's novel *Naoko*, as seen above, a book which shows a stronger fictionality of the protagonists than *Kaze tachinu* while still relying on real models.⁸⁷ Likewise, as the "I" of the novel *Kaze tachinu* is commonly identified with Hori himself, Jirō takes on features not only of the book's unnamed protagonist but also of Hori Tatsuo himself – as envisioned by Miyazaki. Both Jirō and Naoko are thereby simultaneously fictionalized by referring to a work of fiction and at the same time authenticated by referring to real persons, which is especially pronounced in Jirō's case, as he can even paradoxically be identified with two real persons.

This identification of Jirō with Hori himself is further emphasized and conspicuously enlarged by Miyazaki's comment that he took verifiable similarities between Horikoshi and Hori as a starting point for his creative work of merging two biographies and a novel in his main protagonist Jirō, the most important likeness being their closeness of age and their highly productive time in the 1930s – the "ten years" of creativity mentioned in movie and comic by Caproni. Both also wore thick glasses, and it is not easy to tell whom the depiction of Jirō in fact resembles more. Before the promotion actually started, Miyazaki had claimed that he thoroughly jumbled up (*gochamaze ni shite*) the two contemporaries Horikoshi and Hori to make up the protagonist Jirō.⁸⁸ This probable original intention to unite Horikoshi and Hori into one protagonist, to embed two identities into Jirō, had been

⁸⁵ The obtainable sources allow us to understand the extent of fictionalization, especially for the last chapter: Hori was inspired to write this chapter, which is set in 1936, only in 1937/38, when he read Rilke and spent the winter in Kawabata Yasunari's vacation house in Happy Valley – like the first-person protagonist in his book. Yet for most of the time, he was not alone there, but with other visitors. For the development of this chapter cf. HORI 1977c: 69–75.

⁸⁶ While Setsuko's paintings are never described, Ayako's paintings were very expressionistic and Naoko is also shown to paint with strong brush strokes.

⁸⁷ Amongst the different protagonists who are all assumed to have real-life models, Naoko is commonly thought to be a rather free fictionalization of Hori's youthful friend Katayama Fusako 片山総子 (1907–1982) (cf. RUCINSKI 1977: 80 f.). She inspired also other works by Hori, amongst them *Utsukushii mura*, where the protagonist manages to get over an unrequited love of his youth. The novel Hori really worked on while in the sanatorium with Ayako, *Monogatari no onna* 物語の女 (1934), is regarded as predecessor to *Naoko*.

⁸⁸ This claim is accordingly quoted, for example, in MURASE 2015: 225 and KANŌ 2015 and is still featured on the movie's website (<http://www.ghibli.jp/kazetachinu/message.html>).

widely ignored after the premiere of *Kaze tachinu*.⁸⁹ Even Miyazaki himself afterwards expressed his intention differently, referring rather generally to the atmosphere or the essence of Hori, as seen above,⁹⁰ or appraised Hori's sanatorium novels as representative for the historical era (MIYAZAKI 2015: 2 f.).⁹¹

In both movie and comic, Miyazaki uses specific real locations as backgrounds to further generate authenticity. In connection with Hori Tatsuo, two locations are noteworthy. First is the mountain resort of Karuizawa, a famous getaway for Western foreigners living in Japan in the first half of the twentieth century. While it is only called K. village in many of Hori's works, it is the background for a large portion of his literature.⁹² Second is the Fujimi Highland Sanatorium (*Fujimi kōgen ryōyōsho* 富士見高原療養所). Both places are depicted very accurately and close to their historical appearance, and in the comic are even furnished with comments serving as an introductory study.⁹³ As Karuizawa has changed a great deal and the old sanatorium has been demolished in 2012,⁹⁴ Miyazaki's two works function as a memorial to the locations in this historical era, thereby evoking feelings of nostalgia. Apart from bestowing reality to the depicted early Shōwa-period, they also link Jirō and Naoko to Hori's novel and Hori's life, since comic and movie take place in the same locations at the same time.

As outlined before, the interplay of fiction and reality is much stronger and openly commented upon in Miyazaki's comic. One such case, that seems to offer an argument against Jirō being identifiable with Hori, is that Jirō actually gets to meet Hori Tatsuo. Again Miyazaki uses a "real", and thereby authenticating background, as we are told in

⁸⁹ Murase, for example, while quoting Miyazaki's intention, repudiates this explanation directly afterwards and instead regards the two protagonists Jirō and Naoko as the outcome of the mixing of Horikoshi and Hori, respectively.

⁹⁰ It should be added that Miyazaki has suggested being himself not sure about the exact degree of this mixture (HANDŌ and MIYAZAKI 2013: 89) and about in what way exactly Hori's works influenced him (ibid.: 155).

⁹¹ Yet, he sometimes widens this again to Hori and Horikoshi, "as representative of that historical era". (*Ano jidai o daihyō suru* [...] あの時代を代表する) (HANDŌ and MIYAZAKI 2013: 180).

⁹² Hori spent considerable time in Karuizawa and the neighboring village of Oiwake. Both locations are of such a central importance for many of Hori's works that the writer and the area are now linked in public consciousness. Hori is mentioned in pamphlets and guidebooks, and a museum is devoted to him.

⁹³ In the new publication of the comic as a book, the sanatorium is closely described in an extra commentary written by the editor Kichijōji Kaito 吉祥寺怪人 (MIYAZAKI 2015: 52). Other locations, unrelated to Hori, are of course similarly accurately drawn.

⁹⁴ This demolition is mentioned critically in a new extra commentary for the re-publication of the comic (MIYAZAKI 2015: 52). In the comic, a commentary next to an image of the sanatorium informs the reader that the woods in the background have disappeared (ibid.: 54). Miyazaki has lived in the area, so he seems very devoted to it and also visited the sanatorium himself. Cf. HANDŌ and MIYAZAKI 2013: 167 f.

comments (MIYAZAKI 2015: 20 f.), the restaurant *Perikan* ペリカン (*Pelican*).⁹⁵ The two discuss literature and aeronautical design in a short scene. Most remarkable is the imagery: While most of the people in the comic resemble pigs, Hori is depicted as a dog. As the meaning of the pig-like faces is not easily graspable, neither is this dog's face – it does though indicate a prominent and special role of the writer in the concept of Miyazaki, also featured in another, earlier comic.⁹⁶ Still, Hori only appears in this scene and might be termed a minor side-character of the comic. The depiction of Hori also does not exclude the possibility of identifying Jirō with the protagonist of the novel and with Hori himself, but possibly further supports it, by emphasizing Hori's importance. As the pig-Miyazaki points out: "I like Hori Tatsuo" (MIYAZAKI 2015: 21).⁹⁷

The complex layering and merging of fictional and realistic intermedial references allows us to identify different real and fictive persons in Jirō. Additionally, as all of these are merged in him, bestowing traits and imagery, Jirō can reflect certain characteristics of each of his identities on every other one. Through Miyazaki's protagonist, Hori's sensibility and creativity, and the novel's protagonist's emotions and thoughtfulness can be associated with Horikoshi. In the other direction, Horikoshi's talent and diligence can be projected on Hori.

By this cross-identification with Hori, the movie might imply further perspectives on Jirō's and, by extension, Horikoshi's attitude to militarization and war. The writer – unlike nearly all of his colleagues – never wrote anything, be it negative or positive, about contemporary political happenings.⁹⁸ This is rated positive by postwar critics: Katō Shūichi for example sees Hori Tatsuo as one of only a handful of writers who managed to keep their distance to the militaristic spirit. This assessment is sufficiently positive for Katō, as he deems open resistance useless in Hori's times.⁹⁹ Jirō is depicted as being explicitly critical from time to time, but likewise does not resist.

As KATŌ writes, Hori seems to have entered some sort of exile in Karuizawa, far away from the militarist center, surrounded by the rests of cosmopolitan spirit available in Japan (ibid.: 183). Protected by tuberculosis from being drafted, sanatoriums provided a refuge

⁹⁵ While Miyazaki seems convinced they really knew each other from this place (MIYAZAKI 2015: 21), no other sources could be found on the question. As both studied at the same university, they might have very well met in reality (SASAKI 2015: 99).

⁹⁶ In Miyazaki's comic *Tainmasu e no tabi* タインマスへの旅 (2006; "A Trip to Tynemouth"), his pig-alter ego visits the writer of warplane-stories Robert Westall (1929–1993) who is also depicted as a dog (cf. KANŌ 2015).

⁹⁷ Miyazaki describes how he came to appreciate Hori's works in HANDŌ and MIYAZAKI 2013: 151 f.

⁹⁸ KATŌ 2001: 182. Rucinski reasons on Hori's silence: "Perhaps the secluded life he was already leading allowed him the rare luxury of aloofness; certainly it is consistent with his theories of literature" (RUCINSKI 1977: 148).

⁹⁹ KATŌ 2001: 184. Katō widens his critique to postwar-Japan, with individual freedom more valued, but also with better methods of manipulating the people (ibid.: 185).

for him as well. Furthermore, Hori seems to have withdrawn into an inner emigration, retreating into French and German literary worlds, and later even into the depths of time to classical Japanese literature.¹⁰⁰

Similar notions are engendered by Miyazaki's explicit references to Thomas Mann's *Der Zauberberg*. In the comic, the *Zauberberg* is linked by a commentary with the highland-sanatorium from Hori's novel, but also in a talk between Jirō, Naoko's father and the nameless German identified with the mountain resort Karuizawa with its foreign ambience (MIYAZAKI 2015: 38). In the movie, this German guest is called Castorp like the protagonist in Mann's novel. Castorp plays a more conspicuous role than in the comic. He stresses the necessity to enjoy living in the present by singing "*Das gibt's nur einmal*" (1931) and compares the mountain resort to *Der Zauberberg* as well. Furthermore, he warns of the coming war and ensuing destruction. *Der Zauberberg* is thereby multiply related to Karuizawa, the sanatorium and the different identities embodied by Jirō. As Mann's novel portrays a hideaway from the worldly maelstrom leading to war, Karuizawa and the sanatorium can be perceived to be similar locations. That Thomas Mann, as a famous active opponent of the Nazi regime, is associated with Hori bestows a certain implicit critical attitude on the Japanese writer as well.¹⁰¹

In the end of *Der Zauberberg* World War I starts; Castorp has to leave his hideaway and is sent to the front. Miyazaki's Castorp is persecuted by the militaristic state organs even before World War II,¹⁰² implying there was no such exile in Japan in the 1930s. Jirō also has to leave Karuizawa and Naoko and is even in danger of being persecuted because of his work. This suggests Horikoshi had considerably fewer possibilities than Hori to escape being dragged into the machinery of militarism.

To complicate things, we can postulate even other identifications with real persons.¹⁰³ There is the hint of Jirō representing Miyazaki's father, a spare part deliverer for warplanes in the times of World War II.¹⁰⁴ Miyazaki's mother suffering from tuberculosis in this context has been mentioned as well as an impetus for the story of Naoko, also shedding light on the recurring theme of disease in Miyazaki's movies.¹⁰⁵ The peculiar choice of

¹⁰⁰ Viewed from this angle, his last part of *Kaze tachinu* already seems to resemble hermit literature, *sōan bungaku* 草庵文学.

¹⁰¹ The dog Hori in the comic additionally quotes Hermann Hesse (1877–1962) (MIYAZAKI 2015: 22), referring to yet another opponent of militarism.

¹⁰² Miyazaki's Castorp has been linked to the spy Richard Sorge (1895–1944), cf. SASAKI 2015: 97.

¹⁰³ Kanō even adds Hori's pupil Tachihara Michizō as a possible influence, as he is considered to have been the model for Naoko's childhood love in the novel *Naoko* (KANŌ 2015).

¹⁰⁴ Cf. PENNEY 2013a: 2. Miyazaki elaborates this in HANDŌ and MIYAZAKI 2013: 51, 53 ff., 89, 135, 138, 149 f., 159, 221 ff.

¹⁰⁵ Cf. HANDŌ and MIYAZAKI 2013: 135 f., 141, 144 f.

Miyazaki's pupil, the animator and film director Anno Hideaki 庵野秀明 as Jirō's voice actor also affects his identity.¹⁰⁶

Relevant but puzzling is the identification of Jirō with Miyazaki himself. While in the movie this is not obvious, in the comic, the pig-stylized alter ego of Miyazaki likens himself with Jirō several times, regarding the work of being creative and drawing at the plotting board, being stressed by the weight of other's expectations, overworked, and worn out (MIYAZAKI 2015: 25, 19, 57). The dream of flying without having the necessary eyesight and the devotion to drawing planes further link Miyazaki with Jirō. Still, searching for more parallels becomes highly speculative, especially when it comes to the negative aspects of striving to realize one's dreams.¹⁰⁷

4 Concluding Remarks

The homage to Hori Tatsuo and his novel *Kaze tachinu* can be considered to have much more significance for Miyazaki's movie than the freely inspired narrative centering on Naoko at first suggests. In terms of plot, the comic can be seen as an adaptation of the novel, while the movie as an adaptation of the comic moves too far away from this point of origin to be similarly called an adaptation of the novel. Still, images very strongly reminiscent of Hori's novel are featured in the comic as well as in the movie. They are, especially in the movie, mostly placed in entirely new contexts. Still, for those who have read the novel, they work effectively to evoke images, scenes, and scenery.

As the narrative of love and tragic illness narrative centering on Naoko is the main part of the movie which refers to the novel, it is not surprising to find that the largest part of references to the book pertain to Naoko as well. With major changes of plot and many details in the adaptation of the comic, Naoko, while showing some parallels to Naoko in the novel of the same name, still most clearly represents Setsuko. The locations, the love for the protagonist, her illness and indicated but omitted death, her painting, her absent mother and her worried father all are indications, substantiated by the described images and motifs.

The most striking similarities, on the other hand, can only be found in the structure. The dichotomy of two plotlines is broken up by parallels between uneventful daily life, love, dreams, and work, and the undepictable threat of death and destruction. In contrast to the comic, the movie strategically makes use of such structures, but also of Hori's

¹⁰⁶ Cf. HANDŌ and MIYAZAKI 2013: 194 f., 197 f.

¹⁰⁷ Miyazaki for example expresses doubts about animated movies for an adult audience, which he not only sees applying to *Kaze tachinu* but to *Kurenai no buta* as well (cf. *Yume to kyōki no ōkoku* 2013; cf. KANŌ 2015). The possible applicability of a creative period of ten years to him is a mystery as well (cf. LACK 2014: 127). Regarding the question of war, Miyazaki is also not convinced he would not have participated if he had been born in that time (cf. PENNEY 2013a: 2).

appropriation of Valéry's verse and the poeticity it generates for the motif of wind. Thereby, Miyazaki interconnects the two narrative strands and broadens the meanings, propositions and suggestions conveyed by the movie.

The comic offers a useful contrast to the movie and helps to understand many points of origin, yet it raises new and perhaps even more numerous questions on the deeper meaning of the movie as well as on the intentions, dreams, and doubts of Miyazaki. It certainly underpins his claim that he did not want to make a movie about war. His doubts about the success of the film also seem credible, as the distance between the creative, playful and self-referential comic delving into technical, historical, and literary details and the serious, realistic, and dramaturgically plotted movie is great indeed. In both works, multi-layered identifications of fictional and real persons are discernable in the main protagonist, and these in turn, by reflecting on each other, add new perspectives. The complicated intermingling of different layers of images, identities and associations, creating new contexts and dimensions, certainly is still not easy to unravel in all its implications and remains open to different interpretations and conclusions.

Finally, the question remains what Miyazaki's homage signifies for Hori and his œuvre. Of course, the legacy of the movie creates a strong impetus for current and future reception of Hori. The novel *Kaze tachinu* is now being sold with advertisement dust jackets featuring a picture from the movie. Some reader's expectations might be disappointed, as neither planes nor references to historical events or the looming war are featured in the book. Many might benefit from the powerful images Miyazaki provides. Especially the depiction of no longer extant historical locations and the 1930's atmosphere in movie and comic enrich the experience of reading the novel.

Also potentially productive for the future reception of Hori is the co-identification of the writer with the film's and comic's protagonist Jirō, the historical Horikoshi Jirō, the first person protagonist of Hori's novel, and Miyazaki himself. Furthermore, by mentioning Hori in the same breath with Mann, Hesse, Ryōkan, and Rossetti, amongst many others, Miyazaki effectively lifts Hori's œuvre to the status of an early modern classic and ranks the writer as a silent opponent of the war,¹⁰⁸ who tragically lived in dark times, yet tried to make the best out of it and realize his dreams, even if this should turn out to be in vain. Hori and his *Kaze tachinu* might gain a renewed actuality – if only because they are rediscovered thanks to the movie.

¹⁰⁸ Sometimes this works perhaps too well, as can be inferred from the following quote: “[...] [T]his movie attempts to remind audience of the Asia Pacific War without depicting the war itself, just as the novel by Tatsuo Hori” (AKIMOTO 2014: 48).

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