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Books Within Books in Fantasy and Science Fiction: “You are the Dreamer and the Dream”

Phillip Fitzsimmons

THIS CHAPTER DISCUSSES BOOKS that exist only within works of science fiction and fantasy—what the “List of Fictional Books” on Wikipedia calls a “fictional book” and what Claire Fallon calls “invented books” in her article for the *Huffpost* website, “Fictional Books Within Books We Wish Were Real.”¹ When done well, these books can act as keystones² to the structure of both the stories and the worlds in which they appear. Some books become elements of their stories and imaginative worlds comparable to other story-telling elements such as character development, plot, dialogue, or scene. An interesting commonality of the “invented books” mentioned above is that they have heroes who are each engaged with books that describe the worlds in which the heroes are living and the books exist.

Examples include the works of H. P. Lovecraft, such as the novella *The Dunwich Horror* [*Dunwich*] in which the contents of the *Necronomicon* are studied and quoted by both sorcerers and heroes, the former to destroy the world and the latter fighting to protect it. In *The Man in the High Castle* [*High Castle*] by Philip K. Dick, the reader sees a world in which the Axis powers won World War II and Japan occupies the West Coast while Germany occupies the East Coast of the United States. In this world there is a popular underground novel titled *The Grasshopper Lies Heavy* that is an alternative history in which the Allies

¹ For alternatives to the *Wikipedia* page “List of Fictional Books,” George A. Kennedy in Chapter 1 *An Overview of Fictional Fiction* expresses his indebtedness to www.invisiblelibrary.com, which cites “Over one thousand imaginary writers and titles” (Kennedy 18). The page describes itself as “a collection of books that only appear in other books. Within the library’s catalog you will find imaginary books, pseudobiblia, artificions, fabled tomes, libris phantastica, and all manner of books unwritten, unread, unpublished, and unfound.” Another source for such books is a contemporary blog, *The Invisible Library*.

² It is appropriate to credit Verlyn Flieger as the inspiration for this use of the keystone and arch metaphor, which she used to describe J. R. R. Tolkien as the keystone supporting the contradictions in his written and spoken words in her keynote address “The Arch and the Keystone” at Mythcon 50, now published in *Mythlore* #135.

won the war, and, as with many other Philip K. Dick stories, characters slip between realities.

Finally, there are the novellas of the 1950s story-character and aspiring science fiction writer Benny Russell, who first appears in the *Star Trek: Deep Space Nine* [DS9] television episode “Far Beyond the Stars” [“Beyond”]. Russell writes stories about his imaginative creation, Captain Benjamin Sisko, who commands the space station Deep Space Nine. In the episode Russell is confused by his experience of being the alter-ego of his creation Sisko throughout an extended ordeal of racism, assault, and professional disappointment. He asks a street preacher about his own identity, and the answer he receives is, “You are the dreamer and the dream” (“Beyond”). In the frame story of the episode, when Benjamin Sisko is revived from a seizure, he is equally disturbed by the thought that he, Benjamin Sisko, a Star Fleet officer and commander of the space station, could be the product of an author’s imagination. Both items, “invented books” and heroes living within the worlds they have dreamed about, satisfy J. R. R. Tolkien’s standards of good fantasy writing as described in his essay “On Fairy-stories.” His standard requires that the writer make ideas that are equivalent to a phrase, such as “the green sun,” go beyond being a mere imaginary concept but instead develop into an integral part of a world that is so consistent that it inspires “secondary belief” within the reader. Tolkien called this “a kind of elvish craft” and wrote that “when [such difficult tasks] are attempted and in any degree accomplished then we have a rare achievement of Art: indeed narrative art, story-making in its primary and most potent mode” (61). This chapter argues that the “invented books” described above meet Tolkien’s high standard for good fantasy writing in the stories in which they reside and the worlds they create.

It is necessary to include a word about George A. Kennedy’s academic work *Fictitious Authors and Imaginary Novels in French, English, and American Fiction from the 18th to the Start of the 21st Century* [Authors], which is both an erudite and witty treatment of imaginary authors and their “invented books.” Kennedy compares earlier examples with contemporary uses of stories within stories, which were:

set in a narrative framework that supplies an occasion for their being told. The imaginary work [...] allegedly taken from a *printed* source [...] is a development in a different direction, in that the larger narrative framework into which it is inserted is the more important part of the book, to whose plot, characterization, theme, or meaning in the built-in story may contribute in some way. (6)

He goes on to explain that the “built-in fiction” of today is “realistic,” often functions as satire, and raises questions about the primary

narrative voice or reality of the work (1–7). Kennedy delves much more deeply into the topic of “built-in fiction,” what this chapter refers to as “invented books,” than is appropriate here. The authors described in this study are not addressed in Kennedy’s book, but this quotation still sets up the question of what the function of “invented books” are for H. P. Lovecraft, Phillip K. Dick, and the writers of *Deep Space Nine*. For example, in Lovecraft, there was always an underlying puckish humor in his enumeration of obscure occult authors and titles in his stories, though I would not say that it was intended as satire or blatant humor, or any of the other functions described by Kennedy. Any of these functions would have distracted the reader from the frightful seriousness and experience of personal endangerment for the characters in the world Lovecraft created. Any such distraction from the horror and impending doom that his stories present would have made Tolkien’s “secondary belief” impossible for the reader.

The use of “invented books” in real-world novels is a story-telling device used for a variety of purposes;³ as Kennedy states above, they also represent degrees of significance within their story-worlds and are found in a variety of genres of fiction. The following list of titles represents this variety. Some are works in which the “invented books” are integral to their stories and their worlds, while others are mentioned in passing by narrators but are not necessary to the story or world in which they reside. Examples of works that are integral to their story-worlds include: Italo Calvino’s *If on a Winter’s Night a Traveler* (magical realism); Arthur Conan Doyle’s Sherlock Holmes stories (mystery, presented as case studies written by the character Dr. John H. Watson); William S. Burroughs’s *The Ticket That Exploded* (experimental fiction, composed using the cut-up technique); Samuel R. Delany’s *Dhalgren* (experimental science fiction, with a circular text that concludes where the novel began); Douglas Adams’s *The Hitchhiker’s Guide to the Galaxy* (humorous science fiction); Herman Hesse’s *The Glass Bead Game: Magister Ludi* (futuristic traditional fiction, an invented biography and bildungsroman of the hero); Frank Herbert’s *Dune* books (science fiction space opera, contains epigraphs from other works of the narrator, Princess Irulan); Adam Rex’s *The True Meaning of Smekday* (YA science fiction, an invented book-length school essay contest entry including a comic book created by the heroine); and, finally, J. R. R. Tolkien’s principal works (fantasy, represented in the fictive Red Book of Westmarch).

³ See also Fisher in this volume.

In contrast, other novels contain “invented books” that are only mentioned in passing. They are props needed for the plot and add texture to the story-world but do not contribute as a keystone to the stories or to the worlds in which they exist. Examples include Owen Barfield’s *Excerpta* in *The Silver Trumpet*; C. S. Lewis’s *Is Man a Myth?*, *Nymphs and Their Ways*, and other titles on Mr. Tumnus’s bookshelf in *The Lion, the Witch and the Wardrobe*; and Arthur Conan Doyle’s many titles of books written by Sherlock Holmes on topics of interest to crime investigators, especially *On the Study of Tobaccos and their Ashes*, mentioned throughout the Holmes canon.

As stated above, “invented books” found in real-world novels vary in function and significance to their story-worlds. H. P. Lovecraft, Philip K. Dick, and *Deep Space Nine* offer examples of such outstanding uses of the “invented book” and “the dreamer being the dream” tropes in 20th-century science fiction and fantasy that the stories do engender “secondary belief” in their readers. Together, these three examples represent a century’s use of these devices in science fiction and fantasy: H. P. Lovecraft, the early part of the century (1890–1937); Philip K. Dick, the middle (1928–1982); and *Deep Space Nine*, the end (1993–1999). It should be noted that *Deep Space Nine* originally presented its stories through the media of television, and, in doing so, it represents a later stage in the evolution of storytelling technology, from the early days of pulp magazines to the present time of multi-media fantasy and science fiction productions.

H. P. Lovecraft

A search for the *Necronomicon* in the *Complete Collection of H. P. Lovecraft* [Lovecraft] returns sixty-nine instances of the title from throughout his canon, and the *Necronomicon* is only one of nineteen invented book titles referenced throughout his works according to the “List of Fictional Books” on Wikipedia. A reading of Lovecraft reveals many functions of having his characters refer to and quote from the *Necronomicon* in his stories. Within the story-world, the characters reading the *Necronomicon* are either innocent scholars interested in the occult, or they are sorcerers intent upon personal power, immortality, or the destruction of the world. Two of Lovecraft’s stories that contain both heroic and villainous scholars and who consult and recite from the *Necronomicon* are *The Dunwich Horror* (1929) and “The Thing on the Doorstep” [“Doorstep”] (1937).

The Dunwich Horror is the story of the villain Wilbur Whateley, born of an unknown father in the country out near Dunwich village,

Massachusetts. He is raised and educated by his grandfather who has the ambition that his grandson will call evil creatures into their dimension to destroy the world. The boy grows quickly and becomes known as the Wizard Whateley. A description of the ancient books, course of study, and mysterious preparations for the developing magic of young Wilbur Whateley make up the beginning of the story. Lovecraft's skill in describing these preparations gives depth and realism to the world of his story. The sixteen-year-old Wilbur Whateley's purpose is to discover and use the magical "formula or incantation containing the frightful name *Yog Sothoth*" (*Dunwich* 111) found in the *Necronomicon* to call forth monstrous creatures from another dimension for the destruction of humanity.

His purpose comes to the attention of Dr. Henry Armitage of the Miskatonic University Library, when Wilbur Whateley visits the library to consult its Latin copy of the *Necronomicon* to compare it with his grandfather's imperfect English translation. Armitage comes to understand Whateley's purpose when he sees which passages the young scholar consults. The librarian refuses Whateley's request to allow him to take the book home for consultation in the work of perfecting his occult experimentations. At that point, Armitage realizes that much more is at stake and that he is not seeing mere rustic superstition. Lovecraft outlines the hero's actions:

(His t)alks with several students of archaic lore in Boston, and letters to many others elsewhere, gave him a growing amazement which passed slowly through varied degrees of alarm to a state of really acute spiritual fear. As the summer drew on he felt dimly that something ought to be done about the lurking terrors of the upper Miskatonic valley, and about the monstrous being known to the human world as Wilbur Whateley. (113)

By this time there are reports of a destructive invisible monster lurking in the Dunwich region. The first phase of the incident described by the narrator as the "Dunwich Horror" occurred during the night several weeks after Wilbur Whateley's visit to the Miskatonic University Library. Whateley is killed by a guard dog while attempting to steal the *Necronomicon* from the library. The dying Wilbur Whateley is described as follows:

The thing that lay half-bent on its side in a foetid pool of greenish-yellow ichor and tarry stickiness was [...] [a]bove the waist [...] semi-anthropomorphic [...]. Below the waist, though, [...] all human resemblance left off and [...] from the abdomen a score of long greenish-grey tentacles with red sucking mouths protruded limply [...]. Their arrangement was odd, and seemed to follow the

symmetries of some cosmic geometry unknown to earth or the solar system. (111–15)

Wilbur Whateley dies reciting the *Necronomicon*: “These fragments, as Armitage recalls them, ran something like ‘N’gai, n’gha’ghaa, bugg-shoggog, y’hah; Yog-Sothoth, Yog-Sothoth...’ They trailed off into nothingness as the whippoorwills shrieked in rhythmical crescendos of unholy anticipation” (115).

The whippoorwills are psychopomps excited as they prepare to carry off Wilbur Whateley’s soul, while the recitations from the book have the same feel as Gandalf’s reading from the One Ring at the beginning of *The Fellowship of the Ring*. In this passage, he explains that, “The letters are Elvish, of an ancient mode, but the language is that of Mordor, which I will not utter here” (I.2.50). Gandalf’s comment leaves the sound of the language of Mordor to the imagination of the reader (until it is later recited in the original Black Speech in Rivendell), which would probably have a family resemblance to the last death recitations of the Wizard Whateley from the floor of the Miskatonic University Library. The ritual recitation in Lovecraft’s story and the description of the language of Mordor in Tolkien’s novel contribute to the depth of the world-building of their stories. That depth arises from the sense engendered in the reader that the words originate from a real and living people, language, and literature, resulting in “secondary belief” in the story-world.

After the death of Wilbur Whateley, law enforcement authorities find a ledger in his house written in an unknown syllabary and language. Armitage’s research at this point focuses upon cracking the code of the symbols and discovering in what language the ledger is written so that he can understand the plans of the late Wilbur Whateley. When he cracks the code of the ledger, he finds it to be encrypted English. He assembles a study group of three students of folklore to do bibliographic and chemical research. They help him to plan, prepare, and carry out a response to the newly discovered threat Wilbur Whateley has unleashed. After the death of the young sorcerer, there are increased reports of an invisible monster raging through the Dunwich countryside, leaving giant footprints, eating livestock, destroying houses, and killing their occupants. *The Dunwich Horror* ends with the four scholars and local residents confronting the invisible monster while it is on a killing spree. A chemical spray allows them to briefly see where the monster is, and then Armitage recites incantations that result in its destruction. Visible upon its death, the monster is seen to be a giant creature with a proportionally large duplicate of Wilbur Whateley’s head and face. Fortunately, only one creature was released into their dimension before

Wilbur Whateley's death put an end to his plans. In this story, the use of the *Necronomicon* provides information about the imagined world to both the characters and the reader. It informs the characters about the meaning of what they see and explains the workings of the extraordinary phenomena they perceive. Descriptions of the process of research, study, and use of information, first by the Wizard Whateley, to bend the world to his will, and then by the hero and his team to protect the world, provide a lesson in the value and power of words, books, and research. This presentation of empowerment through scholarship rings true with the reader's experience from our world and is another detail that contributes to the reader's "secondary belief" in the imaginary world.

Two other Lovecraft stories that include characters who study "invented books" are "The Thing on the Doorstep" (1937) and *The Case of Charles Dexter Ward* (1941) [Ward]. Each tells the story of a bright young man who has been drawn into the study of the occult and ultimately led to the *Necronomicon*. In "The Thing on the Doorstep," Daniel Upton narrates the story of how he avenges his best friend, the gifted but naive Edward Derby, whose life is undone as a result of his occult studies. Derby becomes involved with Asenath Wait, literally falls under her magical spell, and marries her. By the end of the story, the reader discovers that Asenath's father, Ephraim Wait, psychically possesses her. He animates her physically to attract and marry Derby and then discards her when he moves on to the next stage of his plan to take the body of Edward Derby as his own so that he can continue his immortal existence as a man. In this story, the victims and the villain are all three students of the occult and use the information within the books, including the *Necronomicon*, to bend the world to their wills. At one point, Ephraim Wait flaunts who he really is to Daniel Upton, the narrator, while in possession of the body of Edward Derby in an asylum, as he patiently waits to be released by the hospital doctors. Daniel Upton resolves the story with a description of how he ends the immortality of Ephraim Wait and avenges his friend.

The novella *The Case of Charles Dexter Ward* has similarities to the previously discussed stories. It describes the discovery, research, and actions of Dr. Marinus Bicknell Willett, the family friend and physician of the young Charles Dexter Ward. In this story, the victim falls under the influence of the spirit of his ancestor, the wizard Joseph Curwen, whom he discovers while doing antiquarian and genealogical research. Under the influence of the evil spirit of his ancestor, Charles Dexter Ward does extensive, international bibliographic and laboratory study to recreate the underground research of his ancestor with the aim of

resurrecting Joseph Curwen and establishing his ancestor's immortality. Much like *The Dunwich Horror*, the family friend and physician Dr. Willett responds to what he sees by performing his own research of occult books, and, with the help of Ward's father, he confronts and defeats the evil spirit. He uses lengthy incantations that are reproduced in the novella. All three stories do an excellent job of using the "invented book" as a keystone to support the imaginary world of the stories of H. P. Lovecraft.

Another story about the greed for immortality that begins with a youthful love of antiquities and genealogical research is *The Shadow Over Innsmouth*. It describes the decline of the people of the remote town of Innsmouth, who have given in to the temptation of seeking immortality. The story shows the reader that the cost of immortality is to be transformed physically and mentally into fish-like creatures. The unnamed hero of the story discovers through his extensive research that he is related to Captain Obed Marsh, the patriarch of the original family that made the pact to become immortal. Interestingly, the hero is drawn to join the people of Innsmouth despite knowing the costs of that decision.

A story that shows a combination of the study of occult books and of dreams shaping reality is "The Dreams in the Witch House" (1933). It tells the story of the mathematics student Walter Gilman of Miskatonic University who studied "Non-Euclidean calculus and quantum physics" and folklore in an attempt to "trace a strange background of multi-dimensional reality behind the ghoulish hints of the Gothic tales" (296). The direction of his studies is inspired by the mysteries of the antiquated city of Arkham, his reading of many occult books listed in the story—the *Necronomicon* among them—and his study of local court records. Gilman moves into a house that was inhabited in the 1700s by the witch Keziah Mason and her familiar Brown Jenkin, a rat with the face of a bearded old man having four hands in the place of paws. Gilman reads in the court records that, during Keziah Mason's witchcraft trial, she "told Judge Hathorne of lines and curves that could be made to point out directions leading through the walls of space to other spaces beyond [...]. Then she had drawn those devices on the walls of her cell and vanished" (297).

Gilman examines the walls of Keziah Mason's former living quarters for evidence of the "lines and curves" that she used to transcend space. Gilman suffers from a fever but pushes forward with his studies despite the illness. He progresses in his research and receives visitations from Keziah Mason and her familiar. Gilman

learns the answers to his questions about mathematical constructs and the ability to pass through to other dimensions. Keziah Mason manipulates Gilman while he is weakened by fever and takes him with her during night-time ramblings of the city. Her goal is to indoctrinate him into all of her secrets if he will submit to her demonic master. The story ends with a physical confrontation between Gilman, the witch, and her familiar when he learns that he has attended the death of a child during their night-time ramblings while mesmerized. He fights the witch when she attempts to force him to participate in the ritual sacrifice of another child. Later, as is seen in other Lovecraft stories, a library of occult books and paraphernalia is discovered by workmen when the house is being demolished.

Impossible lines and angles are often descriptors of the architecture of buildings, places, and objects throughout the work of Lovecraft. They indicate a connection to other occult dimensions. Such impossible geometries are part of the description of an entryway between dimensions in "The Call of Cthulhu," and they are included in descriptions of the architecture of the ancient, deserted city in *At the Mountains of Madness*, of jewelry in *The Shadow Over Innsmouth*, and the body of Wilbur Whateley, as seen in the quotation above from *The Dunwich Horror*. Unusual geometries are recurring details within the works of Lovecraft that become a structural touchstone, which makes his world magical, multi-dimensional, and self-consistent, and which also gives it a frightening and believable depth.

Similar to the way in which Sisko's alter ego Benny Russell is both the "dreamer and the dream" in the episode "Far Beyond the Stars" ["Beyond"] from *Deep Space Nine*, most of Lovecraft's Randolph Carter Stories describe the hero as an "old dreamer" who has the ability to physically explore different levels of dreamlands and then return to the waking world. These stories include "The Silver Key," written in 1926 and published in 1929; the novella *The Dream-Quest of Unknown Kadath*, completed in 1927 but unrevised and unpublished until 1943, after Lovecraft's death; and "Through the Gates of the Silver Key," co-written during 1932 and 1933 and first published in 1934. "The Silver Key" is the most satisfying of the Randolph Carter dream stories. It describes his abilities as an "old dreamer" to explore dreamlands, explains how he lost his gift by accepting a modern scientific understanding of the world, and recounts the process he goes through to regain his former ability. "The Silver Key" dramatizes a character who is both the dreamer and the dream and shows a connection

between dreaming, scholarship, and the shaping of the world of the hero with his dreaming.⁴

Related to the phenomenon of the “invented books” of story-worlds are books from the real world that add to or support the imaginative world of authors such as H. P. Lovecraft. Among them are the works of Charles Fort (1874–1932), mentioned twice in Lovecraft’s works—in a minor work, “The Descendent,” and in a novella, *The Whisperer in the Darkness*. In both cases, Fort’s books are described as an example of the type of occult or fringe books Lovecraft’s characters read. On the face of it, these passing references should not be significant. However, reading his work reveals that this slightly older contemporary of Lovecraft described essential characteristics of the world that Lovecraft created in his stories. Similar strange phenomena described in Fort’s work also appear in Lovecraft’s writings. Both writers include unconventional ideas, such as the belief that objects and creatures pass through thin places in our universe from other dimensions. Lovecraft’s stories that include this idea are *The Dunwich Horror*, “Dreams in the Witch House,” “The Colour Out of Space,” and the novella *The Whisperer in the Darkness*. This novella opens with a description of newspaper reports of the discovery of the bodies of unearthly creatures found in Vermont rivers during historic floods. The character Albert N. Wilmarth, literature professor, folklorist, and rationalist, is drawn into the frightening reality that the Earth is being mined for a “rare metal” by interstellar aliens. This revelation occurs at the end of a series of events that begins when he writes rationalist responses to newspaper reports about the strange dead creatures. Another similarity of Lovecraft’s stories to the works of Charles Fort is the idea that there is evidence that our planet was once habited by creatures from other worlds and that one day they will return to mete out our destruction.

Charles Fort’s *The Book of the Damned* [*Damned*] presents to the reader a world of strangeness that could have been written by Lovecraft. Fort gives verisimilitude to his claims by paraphrasing articles from science periodicals and newspapers and providing informal citations to the items. His data are stories that describe the purported phenomena of falling fish, frogs, blood, black snow, and other items coming from the sky like rain all over the world. He describes found items having odd properties that suggest they were made by aliens or giants. He theorizes that there are other worlds near our own, but in other dimensions, and that the things falling from our skies came through

⁴ See Fisher in this volume.

weak spots in space where the dimensions meet. In chapter twelve of *The Book of the Damned*, he explicitly voices the cynical opinion that the aliens are so advanced in comparison to humanity that treating us as equals would be equivalent to humans establishing “diplomatic relation(s)” with farm animals (163). He continues to assert that the extra-terrestrials own our planet:

I think we're property.

I should say we belong to something:

That once upon a time, this earth was No-man's Land, that other worlds explored and colonized here, and fought among themselves for possession, but that now it's owned by something:

That something owns this earth—all others warned off. (*Damned* 163)

Fort continues a tongue-in-cheek list of the many ways aliens might have come to Earth and gives a list of things they might have done while visiting, such as “hunting, trading, replenishing harems” (*Damned* 164). He speculates that there will come a time when our owners will return and that humanity will be defenseless against whatever they desire to do with us and our planet.

It is fruitful to include Charles Fort when discussing the works of Lovecraft because his books appear to have contributed to the shape of Lovecraft's story-world. This is seen in both of the authors' portrayals of our doomed and myopic humanity—Fort's paraphrasing of articles from newspapers and journals and Lovecraft's fictional stories—and in how Lovecraft's “ancient Elder Things” will return to threaten our temporary peace. In both Fort and Lovecraft's works, humanity as a whole does not wake up to the threat to which we are blind. Only a few unfortunates and students of the occult, especially of the *Necronomicon*, stumble upon the truth, usually leading to insanity and death.

Philip K. Dick

The Man in the High Castle presents a story in which the characters live in an alternative world where the Axis Powers won World War II and divided the United States among them. The East Coast states are ruled by the Nazis, the West Coast states by the Japanese, and the Rocky Mountain states are a neutral area in the center of the country. In the culture of this alternative world, the Japanese victors are obsessed with collecting pre-WWII American historical artifacts. The most popular items are firearms from the American Civil War and from the era of the Old West. The collectors are also interested in items from popular culture such as movie posters, Mickey Mouse watches, Horrors of War, Gum Inc. collecting cards, and even old milk bottle caps, because pre-

WWII era children collected them and played games with their collections of the various items.

The novel opens with Frank Frink, a machinist in a shop that builds reproductions of the western guns that are sold by dealers as genuine antiques. He has just lost his job because he stood up to his boss. The novel shows the process by which Ed McCarthy, his foreman, convinces him to become partners at setting up an independent shop and going into business together to create original jewelry, a move contrary to the known demands of the market. The novel then introduces Robert Childan, a shop owner and dealer of pre-WWII antiques who is persuaded to carry the jewelry on a trial consignment basis. The reader sees the effects of the original artistry upon two of Childan's Japanese customers. Each progresses from dismissal of the jewelry, due to the prejudiced belief that post-WWII Americans cannot create anything of artistic value, to responding to the aesthetic spirit of the new American works of art.

The story of one of the customers is relevant to the thesis of this chapter. Mr. Nobusuke Tagomi, a high Japanese trade official, has just killed a Nazi operative in self-defense during an attack upon his office. He enters Childan's shop with the idea of selling him the antique gun and ammunition that he used in his act of violence. During a scene of painfully artificial courtesy, he listens to Childan's sales pitch of the new American jewelry. Tagomi, in distress over taking a life, makes an impulse purchase of the jewelry while leaving the shop. It is a desperate attempt to try anything that may restore his peace of mind from his distress. He ends up on a park bench probing the jewelry with all of his senses. In an act of frustration, he throws the jewelry away. Tagomi instantly finds himself in the alternative reality in which the Allied Powers won WWII. He sees a freeway that did not exist in his version of reality, and, in confusion, he goes into a diner where a Caucasian man confronts and argues with him when he demands that the Caucasian customers make a space for him to sit. He returns to his version of reality upon finding the piece of jewelry back at the park bench.

Mr. Tagomi redeems himself after his display of racial chauvinism in the diner, when he returns to work. He stands up to Freiherr Hugo Reiss, the Nazi official, who approaches Mr. Tagomi in his office to deny Nazi responsibility for the attack on the Japanese Trade Mission offices. Mr. Tagomi is insulted, uncharacteristically expresses his outrage, and refuses Reiss's request for the transfer of Frank Frink, who was arrested and being held for a graft charge, from Japanese to Nazi detention. Not only does Mr. Tagomi refuse the

transfer, but he writes and signs a new order to release Frink from jail and drop all charges.

As mentioned earlier, in this imaginative world of Philip K. Dick, there is a popular underground novel titled *The Grasshopper Lies Heavy* that describes the alternative history that Mr. Tagomi briefly experienced. The author of the book, Hawthorne Abendsen, lives in the neutral states along the Rocky Mountains. His book is seen by the Japanese and Nazi leadership alike as a threat to their mutual annexation of the United States. A story-thread in Dick's novel shows Juliana Frink, the ex-wife of Frank Frink, after she has moved from the West Coast to the Rocky Mountains. She supports herself as a martial arts instructor. She unknowingly becomes involved with a Nazi operative named Joe Cinnadella, who is posing as a truck driver and was sent to assassinate the author of *The Grasshopper Lies Heavy*. He introduces her to the book and tricks her into believing that he wants to take her on a trip to meet the author. In reality, she is part of Cinnadella's strategy for getting close to Abendsen. He knows from party records that Abendsen is attracted to women of Juliana's type. She uncovers his plans and then kills him in self-defense when he attempts to force her to continue with him on his mission.

Julianna travels alone to Abendsen's home to warn him to protect himself from future assassination attempts. She discovers while visiting Abendsen that the version of reality in which the Allied Powers won WWII is his real world. She also learns that Abendsen consulted the *I Ching* at every stage of writing *The Grasshopper Lies Heavy*. Julianna upsets the Abendsen household by advising them to arm themselves, telling them that she killed a Nazi whose mission was to assassinate the author as well as revealing to the author's household and party guests that he used the *I Ching* in the creation of his famous novel. The last is upsetting to Abendsen, he explains, because the truth reduces him to little more than a typist. After a tense conversation, Julianna leaves the Abendsen house in the dark of the evening with no plans for what she will do next. She considers returning to her ex-husband, Frank Frink, but she hasn't decided yet. She leaves on foot with confidence because she knows that she can do anything.

This presentation of characters who believe they live in the real world but are living in a dream or an imaginary construct is a recurring idea in the works of Dick. *Eye in the Sky* is an early novel of his in which the characters, victims of an industrial accident, find themselves in a group dream that changes when each world-imagining dreamer loses consciousness. Throughout the novel, they find themselves moved

from one dream-world to the next, each one worse than the one before. The dream-worlds are projections of each person's superstitions, prejudices, and fears. First, they are in the world of an elderly man who is the member of a fundamentalist Chicago cult from the 1930s. In his world, miracles and prayer replace science, and his racism has humiliating results for the African American tour guide. The title of the book refers to a scene in which two of the characters see the eye of God, which is the size of a lake. Next, the members of the group find themselves in the world of a middle-aged woman, a privileged culture-seeking busy-body who banishes anything she doesn't like. The other members of the group escape her world by provoking her to banish things she needs to remain conscious. Then, the group finds themselves in the terrifying world of a paranoid young woman. Objects within a house are hurled at them. Eventually, they must flee when the house itself attacks them. The process of passing from bad to worse mental worlds ends when they find themselves in the world of a Communist Party mole. They must survive an armed confrontation between Communist Party Workers and gangster-style Capitalists. An observation Dick developed throughout the novel is that all of the characters—consequently, each of us—live in fantasy worlds without realizing how often they are fantasies or understanding that these fantasies tend to enable superstitions, fears, and prejudices, in addition to empowering the belief that a person is the center of the universe.

As with the connection between the real-world works of Charles Fort and the stories of H. P. Lovecraft, the *I Ching* is a real-world divination text that is significant within the fictional world of *The Man in the High Castle*. In the novel, Frank Frink consults the *I Ching* to help him decide if he should go into business with Ed McCarthy. Frink compulsively consults the book for all decisions and uses it to help him understand events in his life such as the loss of Julianna Frink, his ex-wife. In one section of the novel, two characters simultaneously consult the *I Ching*: Frank Frink receives an encouraging reading about his new business opportunity, while Mr. Tagomi tries to find out how a business deal of his own will turn out. The reader also sees Julianna Frink turning to the oracle throughout her scenes in the novel. The Japanese hero of the book explains:

“We are absurd,” Mr. Tagomi said. “because we live by a five-thousand-year-old book. We set it questions as if it were alive. It is alive. As is the Christian Bible; many books are actually alive. Not in metaphoric fashion. Spirit animates it. Do you see?” (*High Castle* 72)

The *I Ching* was an important book to Dick, who was known to consult it often himself, much like Frank Frink. In the following quotation from *The Exegesis of Philip K. Dick* [*Exegesis*], the editors describe the book in the glossary:

I Ching: An ancient Chinese text used as a tool for divination [...] Dick, [...] consulted the *I Ching* frequently and claimed to have used it to resolve turning points in the plot of *The Man in the High Castle* (1962), which also features an oracular book written using the *I Ching*. (925)

It is scarcely possible to overstate the significance of the *I Ching* to Dick, personally and within his story worlds. The Wilhelm/Baynes translation, which he owned and consulted (*Exegesis* 925), contains a foreword by C. S. Jung (1947) [Jung] in which the prominent psychologist explains the legitimacy of using the book as an oracle for sincere seekers. He explains that it is a tool to reveal the user's subconscious knowledge of the answers to questions they have about the world around them. He describes his experience of consulting the *I Ching* throughout every step of composing his Foreword to the Wilhelm/Baynes translation (Jung). Dick's use of the *I Ching*, mentioned above, when writing *The Man in the High Castle* and his character Hawthorne Abendsen's similar consultations of the oracle while writing *The Grasshopper Lies Heavy* are identical to Jung's consultations of the Oracle just mentioned.

The *I Ching*, as it appears in the works of Philip K. Dick, is an example of a real-world book used as an oracle that has affected the lives of its readers for thousands of years. Thus, it is world-shaping in our reality as well as in Dick's imagined realities. At the same time, it is a structural keystone of the story and world of the novel, *The Man in the High Castle*, and in its alternative history, *The Grasshopper Lies Heavy*.

Benny Russell

Star Trek: Deep Space Nine, in both its television episodes and associated novels, includes a number of "invented books" that figure prominently in the fictional lives of the characters. They include the Bajoran religious texts, *When the Prophets Cried* and the evil *The Book of the Kosst Amojan*, *The Ferengi Rules of Acquisition*, and three titles from the Cardassian culture—the mystery genre of the Enigma Tales; the epic *The Never-Ending Sacrifice* [*Sacrifice*]; and their religious text, the *Hebitian Records*. I include *Deep Space Nine* [DS9] in this chapter because the television series and related novels repeatedly examine the many cultures in its fictional universe as they both clash and co-exist. In order to live side by side, the characters often must learn about and tolerate the religions, literature, customs, and

other forms of expression of many different peoples. At the center of these exchanges is Benjamin Sisko, a Starfleet commander at the beginning of the series who is promoted to captain at the end of season three and whose position requires him to negotiate or interact with the many races on the station. On top of that, Sisko is seen as a religious figure, the Emissary, to the natives of the planet Bajor who own the station. He is believed to be the Emissary because of his direct experience with the Prophets, a nontemporal alien race whom the Bajorans worship as gods. Many episodes involve Sisko mediating conflicts among the residents of and visitors to Deep Space Nine. Just as in the real world, peaceful co-existence in that fictional corner of the universe can be difficult, but—once again mirroring reality—shared experiences and understanding can achieve what is initially thought to be impossible.

How that achievement occurs is perhaps best reflected in the episode “Far Beyond the Stars,” which chronicles the attempts by Benny Russell, a 1950s African American science fiction writer, to publish his story about an African American captain of the space station Deep Space Nine. What seems fantastical in 1950s Earth is reality in the 24th century, as, by then in the episode’s story arc, Captain Benjamin Sisko experiences Benny Russell’s reality while suffering from seizures induced by the Prophets. In Russell’s world, after many setbacks, he is told by a street preacher that he is both “the dreamer and the dream” (“Beyond”). Russell’s dream—his novella—describes the adventures of Captain Sisko and his crew on the space station Deep Space Nine; meanwhile, Sisko’s dream—his seizure-induced hallucination—is that Russell will persevere in a time when African American achievement was denigrated and thwarted. Near the end of the episode, Russell is beaten by the police, learns his novella has been pulped, and is told he has been fired from his magazine job. Even so, Russell insists, his dream cannot be destroyed. The editor Douglas Pabst tells him to calm down, or they will call the police. Russell’s response is among the most significant and moving speeches in the entire television series.

BENNY. You go ahead! Call them! Call anybody you want. They can’t do anything to me. Not anymore. And nor can any of you. I am a human being, damn it. You can deny me all you want but you cannot deny Ben Sisko. He exists! That future, that space station, all those people, they exist in here. In my mind, I created it. And every one of you know it. You read it. It’s here. You hear what I’m telling you? You can pulp a story but you cannot destroy an idea. Don’t you understand? That’s ancient knowledge. You cannot destroy an idea. That future, I created it, and it’s real. Don’t you understand? It is

real! I created it and it's real! It's real! Oh, God. (Benny collapses, sobbing.) ("Beyond")

At the end of "Far Beyond the Stars," the revived Sisko ponders his identity, asking "who is the dreamer and who is the dream?" He wonders if, in fact, he is the product of the writer Benny Russell's imagination, or if things are as they seem, with Captain Benjamin Sisko being the fount of his existence and Russell being a vision sent to him by the Prophets to help him decide what he will do next during an intergalactic war.

During the television show's last season, Sisko struggles with a crisis in which the Prophets are defeated by their enemies, the Pah-wraiths. This defeat severs the Prophets' connection with the people of Bajor. In the midst of this crisis, Sisko again experiences visions of being Benny Russell. In the hallucinations, Russell is confined to an asylum, and his doctor tells him he can be cured of his delusions of Benjamin Sisko if he will paint over the story that he has written on the walls of his cell. As Sisko grapples with how best to help Bajor, Russell agonizes over whether to paint over his fictional world or not. Finally, he chooses his created world and continues to write and completes the *DS9* story. The result is that Sisko is able to release the Prophets from their confinement by the Pah-wraiths, allowing the Prophets to reconnect with Bajor. All of the Sisko/Russell storyline is an explicit presentation of the power of written stories, in reality or within fictional worlds, to change the worlds in which they exist.

As the Emissary, Sisko becomes well-versed in the Bajoran religious prophecies. As the station administrator, he also becomes familiar with the central text of the Ferengi culture, *The Ferengi Rules of Acquisition*, because the station's most important retail establishment is owned by a Ferengi named Quark, son of Keldar. The Ferengi culture is based entirely on commerce, and *The Rules of Acquisition* are both a social guide and a religious text reflecting their philosophy that business is the primary and even sacred activity for a Ferengi (Behr vi). Representative of the text is the first Rule of Acquisition, "Once you have their money, never give it back" (Behr 2), which appears in the episode "The Nagus." The eighteenth Rule, "A Ferengi without profit is no Ferengi at all" (Behr 11), appears in the episode "Heart of Stone." Three Ferengi—Quark, his brother Rom, and Rom's son Nog—become important characters across the seven-season series, with many stories showing how their values frequently conflict with Sisko's Star Fleet and the United Federation of Planets' sensibilities. One episode, "The Jem'Hadar," concludes with Sisko admitting to and taking a step

toward overcoming his own bias against Quark specifically and the Ferengi in general. Throughout the long arc of the series, Sisko develops an appreciation for Quark, Nog, and Rom as individuals as well as a deeper understanding of the ways of the Ferengi as a people. Indeed, Sisko eventually agrees to sponsor the nephew Nog's application to become the first Ferengi member of StarFleet.

Thus, Sisko serves within the context of the DS9 stories as a dreamer who effects justice and peace in his world, motivated in part by his appreciation of two alien religious texts. In addition, he is himself the dream of a fiction writer who wants to bring about those changes within his own time. The role of Benny Russell's invented stories as the possible origin of an entire story-world and of Sisko himself demonstrates the creative power of books to change all worlds. In fact, the long story arc of the *Deep Space Nine* television show ends with the episode "What You Leave Behind" ["Behind"], which shows the destruction of *The Book of the Kosst Amojan*, a book of black magic similar to Lovecraft's *Necronomicon*, used to release the aforementioned Pah-wraiths. In this episode, the Pah-wraiths are released from their own confinement to the Fire Caves by Kai Winn, an embittered religious leader, using recitations of ancient Bajoran incantations from *The Book of the Kosst Amojan*. The scenes of this ritual are akin to the recitations described earlier in the works of Lovecraft. As in Lovecraft's stories, the purpose of releasing the Pah-wraiths is so they will burn and destroy the world of Bajor.

Gul Dukat, the principal villain throughout all seven seasons of the show, describes his purpose of assisting the Kai in releasing the evil spirits: "Soon the Pah-wraiths will burn across Bajor, the Celestial Temple, the Alpha Quadrant. Can you picture it? An entire universe set in flames, to burn for all eternity" ("Behind"). The destruction of the book by Sisko re-imprisons the Pah-wraiths along with Gul Dukat in the Fire Caves for eternity. The Prophets tell Sisko that "the Emissary has completed his task" ("Behind"). They confirm that the book was a "key" to "a door that can never be opened again" ("Behind"). Concluding the series with this solution demonstrates the creative power of books in all story-worlds. It is a fitting way to end a series that repeatedly shows a reverence and value for books and learning.

Hour-long episodes—the television equivalent of short stories—can offer only a glimpse of these cultural impacts on a handful of characters such as Benjamin Sisko, but the franchise novels inspired by the television series go much deeper. One novel building on the fictive Cardassian epic, and sharing its title, is *The Never-Ending Sacrifice* by Una McCormack. She presents the story of the Cardassian boy, Rugal, who

first appears in the television episode "Cardassians." He was a war orphan adopted, loved, and raised by a Bajoran couple. He comes to the attention of the authorities during an incident when he and his adopted father are on the station. Rugal is forced by the Federation legal system, due to a decision of then-Commander Sisko, to return him to Cardassia with his biological father, a national politician. The novel picks up where the episode, "Cardassians," leaves off. The Cardassian epic *The Never-Ending Sacrifice*, an invented book, follows the members of a family who sacrifice themselves through several generations to the supposed higher interests of Cardassian Society. Rugal discovers that *The Never-Ending Sacrifice* is also the title of an academic book in which Dr. Natima Lang, a fictional academic who appears in the episode "Profit and Loss," criticizes the Cardassian culture for always sacrificing the individual interests of its own people throughout its history. Dr. Lang's book inspires Rugal to live a life of caring service, and he always acts to make his native world and culture more responsible and compassionate, or, just like Russell and Sisko, he becomes the dreamer building the dream. This wonderful piece of science fiction world-building gives the reader a deep understanding of Cardassian history, including an explanation of how the Cardassians justify the annexation of Bajor to themselves, and describes the disintegration and reconstruction of their society at the end of a devastating intergalactic war. Rugal lives his own epic, attempting to return to his adoptive parents on Bajor, fighting and struggling for survival after their deaths, and finally rebuilding his life despite his many setbacks. Though a rarity, *The Never-Ending Sacrifice* is both a good franchise novel and good science fiction, without qualification, that provides a satisfying fictional world, people, and culture. In doing so it meets Tolkien's requirements for world-building as described in "On Fairy-stories."

The final literary form in this discussion that is part of the *Star Trek: Deep Space Nine* universe comes in the form of the Cardassian Enigma Tales associated with Elim Garak, who was the former Cardassian spy banished by his superior to live on DS9, during the years portrayed in the television show, and who survives by working as a tailor. In the season 3 episode, "Distant Voices," he describes the Enigma Tales to his friend Dr. Julian Bashir as a genre of mystery novel in which everyone is guilty. The genre is brought up again in the relaunch novels about Cardassians, and the Enigma Tales are mentioned often with both disapproval and appreciation by various characters, much as we real-world readers of fantasy and science fiction literature debate our own tastes. For example, Rugal's grandmother spends all of her time

reading *Enigma Tales* ("Sacrifice"). In the final Cardassian novel, *Enigma Tales*, we see once again that Garak loves them and yearns, after returning to his war-torn planet, for time to read the latest volume, months after its publication. The title of the 2017 novel and repeated references to the genre throughout the book series signify the importance of the genre within the world of *DS9*.

Conclusion

This chapter has explored examples of "invented books" and the trope that characters are "the dreamer and the dream" in fantasy and science fiction literature throughout the 20th century. The works of H. P. Lovecraft, Philip K. Dick, and the writers of the *Deep Space Nine* stories were chosen for this discussion because they span the length of the century that saw fantasy and science fiction develop into the genres we know and love today. From that century, J. R. R. Tolkien stands among the giants of fictional world-building in the high standards his stories of Middle-earth have set for other authors. His work has influenced and challenged most fantasy and science fiction writers from his time to the present, inspiring the attempt to equal his achievements. Tolkien's essay "On Fairy-stories" also articulates that the goal of every fantasy writer should be to create fantastic elements in his or her world-building that are so consistent and integral to the imagined world that they will inspire "secondary belief" (61) within their readers. The challenge of fantasy and science fiction is for the fantastical elements to behave as structural keystones to their story-worlds instead of acting only as interesting texture or decoration for the stories in which they appear. The authors discussed here have made these elements integral to the logic of their stories and shown them to be a part of the formation and structure of the worlds in which they exist. In all of the cases described above, these elements are used in a way that adds depth and contributes to the strength of their story-worlds with the result of satisfying the "green sun" standard that J. R. R. Tolkien established in "On Fairy-stories." In addition, I believe that the authors H. P. Lovecraft, Philip K. Dick, and the various writers of the *Deep Space Nine* episodes and novels are all engaged, to varying degrees, in Tolkien's "elvish craft," in "story-making in its primary and most potent mode."⁵

⁵ I would like to thank Dr. Denise Landrum-Geyer for reading this chapter and making comments for its improvement.

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