

# University of St Andrews



Full metadata for this thesis is available in  
St Andrews Research Repository  
at:

<http://research-repository.st-andrews.ac.uk/>

This thesis is protected by original copyright

Spirit in the Johannine Writings:  
Johannine Pneumatology in Social-Scientific Perspective

Tricia Gates Brown

Submitted for the degree of Ph.D.  
December 1999





TR  
D588

## ABSTRACT

Employing the methodology of social-scientific biblical criticism, Brown investigates the pneumatology of John and 1 John. All of the spirit passages in John receive attention, and the pneumatology of 1 John is studied with a view to the development between the two writings, and to what it suggests about the socio-cultural context of the Johannine community. Patron-client relations, and specifically the variation known as brokerage, constitute the primary social-scientific model used, and its explanatory power in explaining the inter-relationships between God, Jesus, the Spirit-Paraclete, and believers is explored throughout the study.

Brown devotes a chapter to describing the anthropological model of patronage and its relevance to the socio-cultural world of John's Gospel, the Early Roman Empire. Subsequent chapters largely focus on exegesis of the Johannine spirit sayings. The findings of cultural anthropology of the Mediterranean region used in conjunction with the findings of Johannine studies assists in delineating the meaning of spirit in the Johannine writings. A large section devoted to an analysis of the meaning of the term παράκλητος in literature antedating John challenges the dominant view that the word was a formal forensic term.

I, Tricia Gates Brown, hereby certify that this thesis, which is approximately 105,000 words in length, has been written by me, that it is the record of work carried out by me and that it has not been submitted in any previous application for a higher degree.

Date: Dec 18, 1999 Signed:

I was admitted as a research student in November 1996 and as a candidate for the degree of Ph.D. in February 1998; the higher study for which this is a record was carried out in the University of St. Andrews between 1997 and 1999.

Date: Dec 18, 1999 Signed:

I hereby certify that the candidate has fulfilled the conditions of the Resolution and Regulations appropriate for the degree of Ph.D. in the University of St. Andrews and that the candidate is qualified to submit this thesis in application for ~~that~~ that degree.

Date: 15 May 2000 Signed:

In submitting this thesis to the University of St. Andrews I understand that I am giving permission for it to be made available for use in accordance with the regulations of the University Library for the time being in force, subject to any copyright vested in the work not being affected thereby. I also understand that the title and abstract will be published, and that a copy of the work may be made and supplied to any *bona fide* library or research worker.

Date: Dec 18, 1999 Signed:

## Table of Contents

<b>Introduction</b>	1
1. The Problem	1
2. The Method	5
2.1. Social-scientific criticism	5
2.2. Models	6
2.3. Social-scientific questions regarding Johannine pneumatology	8
3. Preview of Contents	9
3.1. Main model	9
3.2. Structure of study	10
3.3. The relationship between John and 1 John	10
4. Hypothesis	12
<b>Chapter One: <i>Patron-Client Relations and the Gospel of John</i></b>	14
1. Patron-Client Relations: The Model	15
1.1. Definition.	15
1.2. Variations of the patron-client model	18
1.2.1. Brokerage	18
1.2.2. Friendship	20
1.3. Kinship and patronage	21
1.4. Social conditions favoring patron-client relations	23
2. Patron-Client Relations in the Early Roman Empire	26
2.1. Patronage flourishes in Italy	26
2.1.1. Types of patron-client relationships in Italy	28
2.2. Patronage and ritualized friendship in imperial Greece and Asia Minor	31
2.2.1. Nucleation in imperial Greece and Asia Minor	32
2.2.2. Ritualized friendship in Greece and Asia Minor	34
2.3. Patron-client relations in the eastern provinces of the Roman Empire	35
2.4. The social context of patron-client relations and the Early Roman Empire	40
3. Patron-Client Relations in John with respect to Jesus	42
3.1. Why patron-client relations?	42
3.2. Jesus as the Broker of God	43
<b>Chapter Two: <i>Four Approaches to Johannine Pneumatology</i></b>	49
1. C. H. Dodd	49
2. George Johnston	52
3. Felix Porsch	55

4. Gary Burge	57
<b>Chapter Three: <i>Spirit in the Gospel of John</i></b>	62
1. Exegesis of the Spirit Passages in John	62
1.1. The spirit descends upon Jesus (1:31-34); Jesus gives spirit (19:30-34; 20:22-23)	62
1.1.1. John 1:31-34	62
1.1.2. John 19:30-34	81
1.1.3. John 20:22-23	87
1.2. Born of spirit (3:3-8); He gives the spirit without measure (3:31-36)	96
1.2.1. John 3:3-8	96
1.2.2. John 3:31-36	107
1.3. Worship in spirit and truth (4:21-24)	110
1.4. The spirit is life, the flesh counts for nothing (6:60-63)	118
1.5. Rivers of living water (7:37-39)	130
1.6. Baptism, water, and spirit.	143
1.7. Why is spirit not mentioned after 7:39 until the Farewell Discourses?	144
2. Summary	145
<b>Chapter Four: <i>The Paraclete in John</i></b>	148
1. The Meaning of παράκλητος	148
1.1. Pre-Johannine usage of “παράκλητος”	148
1.2. The meaning of “παράκλητος”	157
2. Exegesis of the Paraclete-Spirit of Truth passages in the Johannine Farewell Discourses	163
2.1. The First Farewell Discourse	163
2.2. The Remaining Paraclete Sayings (15:26 - 16:15)	187
3. Summary	206
<b>Chapter Five: <i>Spirit in 1 John</i></b>	209
1. Exegesis of Spirit Passages in 1 John	209
2. Summary	228
3. A Comparison of the Pneumatology of John and 1 John	229
<b>Conclusion</b>	232
<b>Bibliography</b>	240

## Introduction

### 1. The Problem

Scholarly research devoted to the comprehensive study of Johannine pneumatology has been meager in recent years. This in spite of a surging interest in John which has led to numerous investigations into aspects of the Gospel such as its Christology and literary content. A tendency to focus on the historical situation of John and its community and how that situation affected the development and content of the Gospel characterizes many of these studies. Still, questions about the development and content of John's spirit-language have largely gone unasked. Perhaps the predominantly historical interest in the Gospel of John reflects an effort on the part of Johannine scholars to avert attention away from its ancient designation as the "spiritual Gospel." The antipathy for this label, which manages to make John seem insipid and ahistorical, may have caused scholars to neglect the import of John's pneumatology for an understanding of the Gospel and its socio-cultural context. John is indeed a very "spirit-ual" Gospel; spirit figures prominently in John. A grasp of what spirit means within John can enhance our knowledge not only of the Gospel itself but of its context since, as we will find, John's spirit-passages hint at the experiences of the author and his community. On the other hand, understanding the socio-cultural context of John is what allows us accurately to interpret John's use of "spirit."

The few major studies on John's comprehensive pneumatology in the past few decades have devoted scant attention to the socio-cultural context in which John's notions of spirit developed and functioned meaningfully.<sup>1</sup> Since spirit identifies those who are of God and likely played an integral role in the identity of the author and his community,<sup>2</sup> and since spirit is central to the Gospel's polemics at key points such as Jesus' dialogue with Nicodemus, this is surprising. So too is the general lack of consideration paid to the development in pneumatology between John and 1 John, and what that development might suggest about the social setting of the Johannine community. Spirit features in the

<sup>1</sup> The major, relatively recent studies on the overall pneumatology of John are those of Johnston (1970), Porsch (1974), and Burge (1987). Minor studies on John's pneumatology which do not focus exclusively on the Paraclete include Barrett (1950), Dodd (1960), McPolin (1978b), Wenham (1980), Russell (1980), Beasley-Murray (1986), Miranda (1987), Beare (1987), Wijngaards (1988), Swetnam (1993), Schnelle (1998), and Becker (1998), though the attention of many of these studies is still disproportionately on the Paraclete. Non-English and non-German studies include Ferraro (1984) and Goguel (1985). See n.5 for recent PhD dissertations on the subject.

<sup>2</sup> Though this point resembles a major conclusion of Burge (1987): that the Johannine community identifies itself as "anointed" by the spirit, Burge does not completely draw out the implications of the community's "spiritual" identity or address the question of why they might identify themselves so.

message and polemic of 1 John, as in John, though the function of spirit in 1 John contrasts markedly with that of the Gospel.

Despite the neglect of these issues, one aspect of John's pneumatology receives much notice. We are referring to the figure of the Paraclete, the "Spirit of Truth," confined to the chapters of John known as the Farewell Discourses.<sup>3</sup> Indeed, most scholars approaching the subject of John's pneumatology become so fixed on this enchanting figure that relatively little issues about "spirit" in the remainder of the Gospel.<sup>4</sup> This is understandable since the Paraclete raises so many questions for the researcher that the topic can easily become all-consuming. Simply discerning the meaning of the Greek word *παράκλητος* presents a significant challenge.<sup>5</sup>

<sup>3</sup> Studies of the Paraclete and /or Farewell Discourses include Windisch (1927; 1968), Mowinckel (1933), Johansson (1940), Davies (1953), Mussner (1961), Betz (1963), Behm (1964-76), Brown (1966-67), Bornkamm (1967), Becker (1971), Müller (1974), Kremer, (1977), Boring (1978-79), Carson (1979), Woll (1980; 1981), Painter (1981), Grayston (1981), Franck (1985), Breck (1991), Domeris (1991), Slater (1991), Draper (1992), DuRand (1992), Tolmie (1995), and Rohls-Hoegen (1996). Non-English and non-German studies include Miguéns (1963) and Oñate-Ojeda (1998).

<sup>4</sup> Johnston's study of pneumatology in John exemplifies those in which the Paraclete comes to dominate a study intended to be about spirit throughout the entire Gospel.

<sup>5</sup> PhD dissertations on the Johannine Paraclete or the Farewell Discourses include Mathews (1992) and Berg (1989). Mathews executes an exegetical study of the Johannine Paraclete passages, concluding each section of exegesis with a section on the *Sitz im Leben* of the featured passage. He accepts the designation of "sect" for the Johannine community and concludes his study with a discussion of the Paraclete with reference to Johannine sectarianism. Mathew's reconstruction of the *Sitz im Leben* of the Paraclete passages places great stress on the hypothesis that prophets held an esteemed role in the Johannine community and that their presence and authoritative role, and the problems caused by them, played a significant part in shaping the Farewell Discourses, in particular their pneumatology (p. 180-184, 189, 192-193, 244f., 255-256, 257f.). Mathews argues that Johannine prophets, who were believed to be the agents of the Paraclete's revelation to the community came to overemphasize the centrality of the spirit and depreciated the importance of the historical Jesus. This motivated the Evangelist to characterize the spirit as providing continuity to the earthly Jesus through his teaching and recalling functions. The author posited the Spirit-Paraclete as a validating authority of the community's Christological traditions, and the means by which those traditions were reinterpreted and made vital for each new situation (p. 173f.).

Berg's (1989) study of the Paraclete passages in the Farewell Discourses, and the spirit passages in 1 John seeks to demonstrate the interrelationship between the Johannine community's history and Johannine pneumatology. Though he does not indulge in detailed speculations about the specific socio-historical situations of that community, he draws inferences from the text to explain how the conceptions of spirit in the Gospel and First Epistle were shaped and reshaped by challenges facing the Johannine Christians, and does some speculating about stages of composition. He concludes that certain (supposedly) redacted portions of the Paraclete sayings in chapter sixteen (ie 16:13b, 14, & 15) betray a conflict with Christians who asserted the Paraclete's independence from Jesus (p.220f.). Furthermore, he sees in 1 John a polemic against gnosticizing Christians who make elevated Spirit claims and who disparage the historical Jesus (p.256f., 302-303). He views this challenge to the community as a development of the challenge which led to the redactional elements in chapter 16 of the Gospel (p.302).

PhD dissertations on the comprehensive pneumatology of John include Keener (1991) and Tew (1993). Keener executes a historical-critical study of John's pneumatology, devoting extensive attention to questions about religious-historical background. His study does also focus on the social context of John, and Keener rightly views conflict with the synagogue as the main polemical context of the Gospel (p.xi). Against this backdrop, John's pneumatology functions as a challenge to post-Jamnian tendencies toward normatization. According to Keener, the rabbis viewed the spirit strictly as the spirit of prophecy, but believed that the spirit of prophecy had become practically inactive in their time (p.113). This position allowed them to quell all ecstatic/prophetic groups who posed a threat to their hold on power (p.114). In Keener's view, the Christians constituted one such group. In response to post-Jamnian movements, the Evangelist cast the spirit as the spirit of purification, a direct challenge to Israelite purity rituals (p.216), and in the Farewell Discourses, as the spirit of prophecy vitally active among Jesus' followers (p.324f.).

Tew's dissertation examines the spirit passages in John's "Book of Signs" and "Book of Glory." Tew finds that in the "Book of Signs" the spirit denotes the ethereal power of God, and is predominantly associated with revelation. Jesus gives the spirit, which then does the work of enabling potential believers to respond faithfully to Jesus' revelation. This characterization contrasts with the portrayal of the spirit in the "Book of Glory" where the spirit comes to be personified and primarily facilitates the continuation of Jesus' ministry. The Spirit-Paraclete is modeled after Jesus, but separate and distinguishable from him. Because the Paraclete functions to continue the revelatory work of Jesus, Tew sees revelation as the connecting thread running through the Johannine spirit sayings (see p.143-147).

One reason the Paraclete commands such attention is its uniqueness. This feature of John's pneumatology differs from anything else in the New Testament. Yet even without the Paraclete, the pneumatology of John is distinctive. For this reason studies of John's spirit-language are of great importance. Not to understand spirit in John in its unique Johannine sense is to risk interpreting John's spirit passages according to, say, Pauline or Lucan categories. And though their various uses of spirit may concur in certain aspects, such a method of interpretation is clearly flawed. Unlike Paul, the Fourth Evangelist does not conceive of the Spirit as that which enables believers to fulfill "the just requirement of the law" (Rom. 8:4), the essence of the law which is love for one's neighbor (Gal 5:14), thus freeing believers from the law (Gal 5:18). He does not emphasize the ethical implications of the spirit, although Paul perseverates on them.<sup>6</sup> Furthermore, the "ecstatic" element of Paul's conception of the spirit<sup>7</sup> lacks mention in John. Similarly, Luke's fundamental emphasis on the spirit as that which possesses believers, giving them the ability to do miracles, to heal, preach, and prophesy,<sup>8</sup> comports ill with John's pneumatology.

Finally, pneumatology in John links so inextricably to all the major facets of John's theology that our understanding of it will inevitably enhance our understanding of various other elements of the Fourth Gospel. For example, in terms of broad theological categories, spirit merges with Christology, eschatology, ecclesiology, and soteriology in John. Consequently, in *The Anointed Community*,<sup>9</sup> Burge interprets spirit in John in relation to just such theological categories. The importance of spirit in the interpretation of these categories in the Fourth Gospel can hardly be overstated. As Burge finds, the Evangelist's pneumatology substantially impacts and shapes his theology.<sup>10</sup>

A question concerning us in this study will be: *Why* was spirit important to this author? Our inquiry aims to discern how spirit functioned for the Fourth Evangelist and his community, or what their particular conception of spirit meant for them in their cultural milieu. Why was it helpful to the Evangelist and his group to conceive of spirit in the unique ways they did? What distinguishes this approach from a theological approach is the assumption that ideas, be they theological or otherwise,

---

<sup>6</sup> Benjamin (1976: 45), Paige (1993: 410). On Paul's pneumatology, see Gunkel (1979). On the function of spirit in Galatians, see Esler (1998: esp. 205-234). Esler highlights the importance of spirit as that which "identifies" those in Christ in contrast to those who are of the law. This aspect of Paul's pneumatology bears resemblance to that of John's Gospel, as we will see.

<sup>7</sup> See Esler (1992).

<sup>8</sup> Isaacs (1976: 88-89).

<sup>9</sup> Burge (1987).

<sup>10</sup> Burge (1987).



are shaped by cultural environment.<sup>11</sup> Consequently, to understand the ideas or theology of an author as fully as possible, we suggest one must grasp the cultural context underlying their ideas. Granted, this is not always possible. However, treating theological ideas as if they were spontaneous or as if they were the product of an individual theologian's intellectual musings and spiritual insights proves inadequate, although this happens often in Johannine studies. John's language often occasions abstract interpretations, leading one scholar to opine:

The significance of John is felt almost as a matter of course to lie in its system of thought, its theology. The abstract language of the Fourth Gospel easily leads the interpreter to deal with it as an exercise in abstraction and to seek out the basic principles around which the system of abstractions behind it may be organized.<sup>12</sup>

Instead of, at least, attempting to understand the socio-cultural context influencing John's ideas and attempting to *explain* them, many Johannine scholars content themselves with merely describing those ideas. As often as possible, we will strive to offer explanations in addition to descriptions.

We contend that the abstract language of John can be adequately explained only when approached as the product of a socio-cultural context which has given rise to it. Usually we do not have enough information about the social or historical experiences underlying John. Sometimes we are given clues within the text itself to certain experiences presupposed by it, for example the experience of expulsion from the synagogue. Knowledge of this experience helps us to explain John's theology, for synagogue expulsion is not merely a situation which John's theology aims to address, but one which influenced and shaped its content. Still, there is a great deal more that we do not know about the specific experiences of the Johannine community than that we do know. How can we ever explain the ideas of John when we know so little about the experiences which have occasioned those ideas? We assert that while we may know precious little about the social and historical experiences of the Johannine community, much can be known of the broader cultural context of John, the culture of the Circum-Mediterranean, and this knowledge can enable us to better understand John's theology and begin to explain it. The cultural context of John would have shaped and informed his theology just as specific experiences would have. But information about the cultural context of John is more accessible to us. On an abstract level we are able to learn about the cultural undercurrents of the Mediterranean world which enable us to make abstract assumptions about societies in that area. It is at this abstract level that we will attempt to understand the cultural context of John. Only with such an understanding can we begin to

---

<sup>11</sup> See Halliday's seminal work (1978) on the interrelationship between ideas or language and social context.

<sup>12</sup> Rensberger (1988: 17).

explain the ideas of John. Our goal is not to develop a detailed social history or social description of the Fourth Gospel in order to explain its pneumatology, for as we already avowed, we are lacking the relevant information which would allow us to do so. Instead, we will offer an explanation of the pneumatology of John based on what we can know about the socio-cultural world of the Gospel. Our study will admittedly reside on a higher plane of abstraction than that of social history which seeks to situate certain biblical authors and audiences in concrete social-historical situations. Our focus will be more broad except where information from the text allows us specificity.

The approach just described permits us to consider the socio-cultural context of a text as an influence in the development of the ideas within a text in order to better explain those ideas. This is pivotal, for when we interpret the ideology of a text as if it were a system of abstractions and not the reflection of a specific cultural context, we risk interjecting our own cultural contexts into our interpretations of its ideas. In an effort to avoid doing this we will employ a methodology which aims, to whatever degree possible, to interpret texts according to their own cultural contexts: social-scientific criticism.

## 2. The Method

2.1. *Social-scientific criticism.* Social-scientific biblical criticism is a method of biblical interpretation which utilizes the findings, concepts, and methods of the social sciences, including sociology, cultural anthropology, psychology, and economics, in an effort to discern the meanings of biblical texts within their own social and cultural contexts.<sup>13</sup> It focuses intentionally on the social and cultural dimensions of a text in acknowledgement of the fundamental importance of those dimensions to our understanding of its meaning. This presupposition is undergirded by the view from the sociology of knowledge, aptly elucidated by Berger and Luckmann, that knowledge is socially constructed, or in other words, that social realities relate dialectically to ideas and language.<sup>14</sup> Symbols or language acquire meaning from their socio-cultural contexts. Therefore, a text only makes proper “sense” in light of its context. Due to these assumptions, social-scientific critics distrust interpretations which neglect to

---

<sup>13</sup> Elliot (1995) and Malina (1993) are excellent sources for information on the presuppositions, models, and procedures of social-scientific criticism.

<sup>14</sup> See Berger and Luckmann (1966).

consider the socio-cultural context of a text. Nonetheless, social-scientific biblical criticism is a method of historical *exegesis* and works in conjunction with other methods of exegesis which focus on equally important elements of a text, such as literary or theological elements. Therefore, social-scientific criticism should not be viewed as a monistic approach that seeks to reduce the value of a text to that of a social script. Furthermore, the focal point of social-scientific exegesis is first and foremost the text. Models and theories adopted should be adopted for the purpose of clarifying and making a text more accessible.

2.2. *Models.* The deliberate use of specific analytical models borrowed from the social sciences distinguishes social-scientific biblical criticism. Such models can help us to analyze texts according to their own social and cultural contexts. Because an interpreter's view of reality reflects his or her own context, and because the socio-cultural contexts of many interpreters of the New Testament are remarkably different from those of the New Testament authors, many interpreters tend to see things differently than the New Testament authors would have seen them. Misinterpretation often results from such a predicament. Cultural anthropologists and sociologists develop models of specific socio-cultural phenomena to assist people, as much as possible, in interpreting social and cultural situations very different from their own.

A model has been defined as "an abstract, simplified representation of some real world object, event, or interaction constructed for the purpose of understanding, control, or prediction... a scheme or pattern that derives from the process of abstracting similarities from a range of instances in order to comprehend."<sup>15</sup> Models are developed by observation of and generalization, at varying levels of abstraction, about regularities in human behaviors or systems.<sup>16</sup> In analyzing a social phenomenon an interpreter will choose a model thought to share certain properties with his or her subject. Then the model serves as a heuristic tool, allowing the interpreter comparatively to analyze his or her subject in relation to the model. The model facilitates understanding of the subject, raises questions about the subject, controls possible conclusions, and allows for a range of prediction.

In reality, all investigations involve the use of models, since our minds require objects of comparison by which we can make sense of whatever we are investigating. These objects of comparison are indeed a sort of model, though such models are often used subconsciously. The choice of specific

---

<sup>15</sup> Malina (1982: 231).

<sup>16</sup> Elliot (1995: 42).

analytical models allows us to discriminate between models, and in the end to decide on the models most useful in analyzing our topic, for example models which “fit” the socio-cultural and historical data we are studying. Therefore, models chosen for the purposes of biblical interpretation are generally “those constructed on the basis of research and data pertaining to the geographical, social, and cultural region inhabited by the biblical communities, that is, the area of the Circum-Mediterranean and ancient Near East.”<sup>17</sup> The deliberate choice and use of a model permits one to disclose to others the model being used, so that it can be scrutinized and discarded if it proves unuseful.

There are those who criticize the use of analytical models for a variety of reasons. Some biblical critics argue that employing models developed by modern-day anthropologists entails imposing alien frameworks on texts from a first-century context for which they might not be appropriate. Yet, as we stated above, every biblical critic uses models for analysis. Those who do not select analytical models relevant to the data under investigation often subconsciously employ models from their own modern-day contexts, models such as “class,” “politics,” or “personality,” which may prove a poor fit for analyzing ancient Mediterranean societies in which social hierarchies and personhood are conceptualized very differently than in, say, modern American societies. Social-scientific models are developed to facilitate comprehension of data that may not otherwise be accessible to the analyst, therefore the models must “speak the language” of the analyst, using modern assumptions and social-scientific categories which can be understood by the analyst. Philip Esler points out that this is essential “if we are to address cultural experience different from our own in terms we can comprehend.”<sup>18</sup>

Still, some critics recommend an “interpretive” approach<sup>19</sup> to social-scientific analysis over a model-centered approach.<sup>20</sup> To summarize this position in an admittedly terse fashion: those who espouse the interpretive approach stress the particularity of each socio-cultural situation and the need to analyze each situation on its own terms. The interpretive approach favors “ethnographic” analysis, which focuses on the natives’ point of view and seeks to interpret data on their terms, rather than cross-cultural analysis which employs modern social-scientific models and categories to translate and interpret socio-cultural situations in such a way as to make them comprehensible to the analyst.<sup>21</sup> A key problem with the interpretive approach is how it limits the capacity of any given culture to

---

<sup>17</sup> Elliot (1995: 49).

<sup>18</sup> Esler (1995: 7).

<sup>19</sup> In this section I am indebted to Esler’s (1995: 5-7) discussion of the interpretive approach and its problems.

<sup>20</sup> See, for example, Susan Garrett (1992: 92).

<sup>21</sup> Esler (1995: 5-6).

communicate with another. The approach is essentially relativistic, for it insinuates that one can only know and understand a given socio-cultural situation according to its own terms, making most cultures unknowable to “outsiders.” Those of the model-centered approach, on the other hand, contend that cross-cultural communication and understanding is possible, and that models can assist in translating “foreign” data into terms which can be understood by outsiders, without distorting that data. A further criticism of the interpretive approach to social-scientific analysis of New Testament texts recognizes its impracticality. Total immersion in the socio-cultural situation under investigation allows the observer to execute the interpretive approach successfully,<sup>22</sup> yet this level of first-hand observation of an alien context is not possible with respect to the socio-cultural situations behind the New Testament texts. Models developed by anthropologists of the Circum-Mediterranean, based on their observation of people groups in that region, on the other hand, make it possible for us to acknowledge our subjectivity as interpreters of those texts and to attempt to place it in check. The abstract nature of those models enables interpreters to know and understand the general features of Mediterranean culture, and to allow that knowledge to inform their interpretations of the New Testament texts which came out of that culture. Though it could be argued that the culture of the modern-day Circum-Mediterranean on which our anthropological models are based cannot be assumed to be an exact representation of the culture of Mediterranean societies 2000 years ago, it is certainly much closer to the culture of the New Testament world than are American or western European cultures.

Finally, it may be the case that in using a general anthropological model one finds that the model must be adapted to reflect specific ethnic-cultural features distinctive to the group/situation under examination, or refined to reflect known features of a specific period in history.<sup>23</sup> We attempt to do this with regard to our primary model, patron-client relations, in a section where we explore to what extent patronage was a factor throughout the Early Roman Empire, as well as what shape it took in various contexts.

2.3. *Social-scientific questions regarding Johannine pneumatology.* One of the advantages of the social-scientific approach to exegesis is that it poses many questions for which the exegete can pursue answers. This proves to be the case in the study of John and 1 John which are laden with cues to the

---

<sup>22</sup> Garrett (1992: 92).

<sup>23</sup> Saller’s (1982) work on patronage in the Early Roman Empire, and Roniger’s (1983) article on patronage in Republican Rome are examples of such model-refining.

socio-cultural contexts of the writings, cues which can inspire many questions about that context if only the exegete is willing to ask them. Some of the socio-cultural questions one might ask of John and 1 John are:<sup>24</sup>

- What social and cultural system constitutes the larger context of John/ 1 John?
- What are its dominant institutions, and what do the texts reveal about the relationship of the Johannine Christians to these institutions?
- What do the texts reveal about the immediate social situation of the Johannine Christians?
- Who are the insiders and who are the outsiders in the texts?
- What do the texts reveal about how group boundaries and social identity are maintained by the Johannine Christians?
- How are relationships within the group conceptualized?
- What do the texts indicate about social issues or problems which the Johannine Christians might be grappling with?
- What is the author's strategy for dealing with these issues or problems ?
- How does the author's pneumatology figure in his strategy?
- What response does the author seek from his readers?
- Do the texts suggest that the author's pneumatology serves a legitimating purpose for the Johannine Christians?
- What are the self-interests or group interests that occasioned the writing?

These, and similar, related questions, will guide us as we strive for greater insight into the relationship between the texts and socio-cultural situations underlying John and 1 John. It is believed that such insight will facilitate a fuller understanding of the notions of spirit in those texts.

### 3. Preview of Contents

3.1. *Main model.* The main social-scientific model used in this study is the model of patron-client relations. This model is especially fitting and useful for an analysis of pneumatology in John, and its

<sup>24</sup> We are indebted to Elliot (1995: 72-74) for proposing some of these questions.



usefulness will be explored and tested as it is employed here. The first chapter of this study will offer a definition of the patron-client model, an explanation of its variations, a detailed discussion of the applicability of the model to the socio-cultural world of the Johannine writings, an explanation of why the model lends itself to an interpretation of John's pneumatology, and finally a brief analysis of John's Christology using the model of patronage. We intend to use the model of patron-client relations in conjunction with other methods of biblical interpretation, drawing on the insights of Johannine studies while viewing the text against the background of patronage, using the model as an analogical tool.

3.2. *Structure of study.* Chapter Two presents a summary, along with some analysis, of four scholars' approaches to Johannine pneumatology. The remaining chapters of our study are devoted to the exegesis of the references to "spirit" in John and 1 John. The use of spirit in the chapters of John other than the Farewell Discourses occupies our interests in Chapter Three. Chapter Four focuses on the Paraclete-Spirit of Truth in the Farewell Discourses. And Chapter Five deals with the references to spirit in 1 John and the variations in pneumatology between 1 John and the Fourth Gospel. In our Conclusion, we assess the use of the patron-client model and its usefulness in our exegesis of the spirit-references in the Johannine writings.

3.3. *The relationship between John and 1 John.* An assumption of this study is that John and 1 John are related texts. The identity of the author or authors of the two writings is not of profound importance to our investigation, so we do not plan to rehash the debate over that identity. Neither do we find it crucial that we decide whether or not they were written by the same author.<sup>25</sup> What matters to us is whether John and 1 John are in some way related and reflect related social contexts. Most scholars concede they do. The striking similarities between the two texts point us to that conclusion as well.

John and 1 John share a close resemblance in vocabulary, style, and thought.<sup>26</sup> Both employ a small vocabulary and a repetitive style. Words frequently used in both texts include such characteristically Johannine terms as "life," "truth," "light," "Son," "world," "flesh," "abide," and "know." Even more notable is the occurrence of particular unique phrases in both the Gospel and Epistle.

---

<sup>25</sup> For arguments against common authorship of John and 1 John see Dodd (1937), Conzelmann (1954), Bultmann (1967), Smith (1974-75), Barrett (1978), Brown (1979), Segovia (1982), von Wahlde (1990), and Sproston (1992). For arguments in favor of common authorship see Brooke (1912), Howard (1947), Robinson (1960-61), Hengel (1989), and Witherington (1995).

<sup>26</sup> For discussions of issues surrounding the authorship and style of 1 John, see Dodd (1937), Brown (1982: 19-30), and Schnackenburg (1992: 34-39).

These include: “Spirit of Truth,” “do the truth,” “born of God,” “children of God,” “walk in darkness,” “have sin,” “overcome the world,” “take away sin,” and “Savior of the world,” as well as the word “Paraclete.”<sup>27</sup> The writing styles of John and 1 John also share a good deal in common. Distinctive to both is the frequent use of parataxis,<sup>28</sup> asyndeton,<sup>29</sup> and parallelism/ antithesis.<sup>30</sup> Furthermore, prominent themes from the Gospel appear in the Epistle. Both teach union with God, made possible through Jesus, and both virtually equate obedience or ethics with love.<sup>31</sup>

Still, certain aspects of John and 1 John give one pause before attributing them to the same pen. Thirty of the most characteristic words from the Gospel fail to appear in the Epistle, including the critical word “δόξα.” In addition, certain words totally foreign to John feature prominently in 1 John, for example “antichrists” (ἀντίχριστος), “anointing” (χρῖσμα), and “expiation” (ἰλασμός).<sup>32</sup> Perhaps most striking, however, are the theological differences between John and 1 John. In 1 John one finds an expiation model of salvation (1:7; 2:2; 4:10) which is rare in John, an understanding of the spirit as the spirit of prophecy, a notion more consonant with primitive pneumatology than with that of John, and 1 John emphasizes the imminence of the parousia (2:18; 4:17), while John emphasizes the *present* experience of Jesus among believers. Finally, it also must be noted that the Epistle pales in comparison to the Gospel’s literary finesse.<sup>33</sup> These differences cause one reluctance in attributing the authorship of John and 1 John to the same person.<sup>34</sup> Nevertheless, despite the disparity between the works, the similarities shared by the two suggest a close relationship or influence. The traits in common between the two are all traits which could have been picked up by two writers sharing some sort of association with one another. This is especially true if one of those writers was purposely attempting to mimic the style of the other, as might have been the case with the author of 1 John.<sup>35</sup> Though we cannot offer decisive proof of either common or different authorship of John and 1 John, we believe the case is strong that the two texts must be related. Still, the nature of the relationship between John and 1 John is

---

<sup>27</sup> Caird (1962: 950).

<sup>28</sup> The linking together of sentences using “καί.”

<sup>29</sup> The joining together of coordinate words or clauses without the use of a conjunction.

<sup>30</sup> Dodd (1937: 130).

<sup>31</sup> Caird (1962: 950).

<sup>32</sup> Caird (1962: 950).

<sup>33</sup> Grayston (1984: 9).

<sup>34</sup> However, see Whitacre (1982: 154-183), who argues that the theological disparities between John and 1 John can be explained as merely different *emphases* in the writings, different emphases occasioned by the need to counter the viewpoints of different opponents. Whitacre does not conclude the documents necessarily share the same author, but he does assert that his findings evidence a closer affinity between the authors of John and 1 John than is usually acknowledged (p.183). See also Schnackenburg (1992: 35-38), whose perspective resembles that of Whitacre.

<sup>35</sup> Dodd (1937: 156).



unclear and will have to be deduced from our exegesis of the texts. We hope to explore the relationship between the Gospel and Epistle through our study of their spirit passages and through that study to come to a better understanding of how the two fit together.

This will inevitably raise the question of which text might have been earlier, and which later. Aligning the two writings chronologically proves difficult since many Johannine scholars now believe the Gospel to have been written over a substantial period of time and in several stages. We agree with this basic conclusion, though we choose not to adopt any of the baroque theories about how and why the Gospel saw such development, or to construct our own detailed theory of its development. Thus, in regard to the relationship between John and 1 John, our focus will not be on the chronological alignment of the two. In exploring the two writings in terms of their pneumatology we plan to demonstrate where there is difference of thought and where there is continuity. Only after we have determined this will we venture to ask what the similarities and differences in pneumatology might suggest about their chronological relationship.

#### 4. Hypothesis

John's spirit sayings are integral to an understanding of Johannine theology, most importantly to the Christology of the Gospel. This thesis will demonstrate how spirit is used by the Evangelist in the Gospel proper to designate that which is of the realm of God. It serves as a sign of Jesus' origins "from above" and thus legitimates Jesus as the only one capable of providing access to the realm of God, or eternal life. New birth in spirit is a benefit proffered by Jesus to those who accept him, making them children of God and thus opening up to them all of the benefits of God's patronage. In John spirit functions to set Jesus apart from all earthly means of gaining access to God.

In the Farewell Discourses, the contours of John's pneumatology are altered in that here the spirit comes to be characterized as the Paraclete who makes possible continued access to Jesus after Jesus has departed. This characterization of the spirit addresses a concern within the community over how Jesus can continue to provide access to God when he is no longer around. In the Discourses Jesus' exclusive ability to provide a way to the Father is strongly reasserted, and the Paraclete is depicted as providing believers with continual access to Jesus.

Not only is a study of John's overall pneumatology warranted by the fact that relatively few scholars have extensively studied all of John's spirit passages together, but it will also fill a gap in Johannine scholarship by describing the relationship between Jesus and the Paraclete more precisely than other scholars have. The patron-client model proves useful for explaining their relationship. Furthermore, by drawing on the findings of anthropological studies of Mediterranean culture, we will also be better equipped to understand what the spirit passages outside of the Farewell Discourses meant to the author and his audience.

## Chapter One

### Patron-Client Relations and the Gospel of John

The pneumatology of John's Gospel stands out within the New Testament. This comes as no surprise to those familiar with John's distinctiveness. But one has to wonder how John's unique pneumatology came to be. What context nurtured its gestation? Furthermore, the exegete must ask what the Evangelist's use of spirit means within the Gospel. How does the spirit function for the author? What did the Evangelist mean when he wrote, "no one can enter the kingdom of God without being born of water and spirit" (3:5)? How does one understand the Paraclete?

Different methods of biblical exegesis approach such questions differently. All, however, begin by way of analogy. We propose that all exegetical investigations begin with prior concepts or categories which, in following Max Black, we will call "archetypes."<sup>1</sup> Archetypes allow the interpreter to order information meaningfully, for the mind needs preexisting concepts by which to analyze information comparatively. As M. Abrams puts it, "Any area for investigation, so long as it lacks prior concepts to give it structure and an express terminology with which it can be managed, appears to the inquiring mind inchoate- either a blank, or an elusive and tantalizing confusion."<sup>2</sup> Archetypes may be either implicit or explicit. A biblical exegete of the narrative critical persuasion might appeal to explicit literary categories such as characterization and point of view in interpreting a document. A feminist critic might interpret a text via more implicit archetypes like cultural assumptions about gender issues.

The use of theoretical models constitutes a deliberate attempt to analyze information analogically. It goes a step beyond the use of archetypes in that a specific model, one deemed to share certain properties with the research subject, serves as a conceptual instrument of analysis.<sup>3</sup> The model and subject act like a metaphor in juxtaposing two frames of reference<sup>4</sup> and inviting us to understand the lesser known by way of the familiar, the model being that which is more familiar. The comparison of model and subject presents new questions and alerts us to new possibilities. A model does

---

<sup>1</sup> Black (1962: 241). Black defines an *archetype* as "a systematic repertoire of ideas by means of which a given thinker describes, by *analogical extension*, some domain to which those ideas do not immediately and literally apply."

<sup>2</sup> Abrams (1953: 31-32).

<sup>3</sup> Elliot (1995: 41).

<sup>4</sup> Barbour (1974: 13).

not create data or evidence, but provides a lens through which to order and understand the subject at hand. It must therefore have correlative features in common with one's subject in order to be useful for analyzing that social phenomenon.

We find the social-scientific model of "patron-client relations," particularly the variation of patron-client relations known as "brokerage," to be a fitting and useful model for the study of Johannine pneumatology.<sup>5</sup> The salient features of the patron-broker-client relationship at various points in John correspond to and illuminate the relationship between God, Jesus, the spirit, and the believer. Moreover, an awareness of the reality of patron-client relations during the Early Roman Empire can be of assistance in answering the questions proposed at the start of this chapter. Patronage, as experienced during that period, provides a context for John's pneumatology. We assert it is the background against which it functioned meaningfully for the Evangelist and his readers. An understanding of patron-client relations not only assists one in interpreting John's spirit-language but is necessary for adequately comprehending the author's meaning and its import. Before expounding upon our choice of the patron-client model in relation to John, however, it is necessary to define and outline the model. It will be apparent that we do not follow one social-scientist's outline of that model, but incorporate features of the model as delineated in several different studies of patronage in the Mediterranean world.

## 1. Patron-Client Relations: The Model

1.1. *Definition.* Patron-client relations or "patronage" denotes a pattern of social behavior founded upon the reciprocal relationships of patrons and clients. A "patron" uses his or her resources and influence to assist or protect another person, the "client," who in return offers certain benefits or services to his or her patron.<sup>6</sup> Patron-client relationships display the following features:

1) They involve a simultaneous exchange of resources; they must be reciprocal and mutually beneficial. This should not imply they always involve a *fair* exchange, and rarely do they involve a one-for-one transaction. Patrons and clients generally do not exchange equivalent goods. Wolf characterizes the kinds of resources patrons and clients provide:

---

<sup>5</sup> See below for an explanation of our choice of the patron-client model.

<sup>6</sup> Saller (1982: 1).

The offerings of the patron are more immediately tangible. He provides economic aid and protection against both the legal and illegal exactions of authority. The client, in turn, pays back in more intangible assets. These are, first, demonstrations of esteem.<sup>7</sup>

The resources provided by a patron can also be of an intangible nature. For example, a patron might write a recommendation for his or her client and, in so doing, confer honor and status upon the client. But since the patron often stands in the more economically advantaged position, he or she more likely provides resources of an economic kind. And, since clients are usually in a position to provide loyalty and “a following” to patrons, these often constitute the resources they provide.<sup>8</sup> In so doing, they add to the name and fame of their patrons.<sup>9</sup> A treatise written by Quintus Cicero for his brother Marcus, advising him on the best way to go about campaigning for the consulship, vividly demonstrates the usefulness of clients for this purpose.<sup>10</sup> Q. Cicero repeatedly urges his brother to make visible in whatever way he can his large number of clients. He stresses that Marcus must remember every person who has reason to be obligated to him, and must make plain to them that the present election time is the premier opportunity to reciprocate. “Take care,” writes Quintus, “that they understand that you have reserved the requital of all those obligations which you think that you are entitled to demand at their hands, to the present time.”<sup>11</sup> Further, Q. Cicero advises Marcus to approach anyone who might desire his services, making them understand that this is the only opportunity they will have to lay him under their obligation.<sup>12</sup> “...Seek out and discover men in every district, make acquaintance with them, solicit them, make them promises; take care that they canvass you in their neighbourhoods... They will wish to have you for a friend.”<sup>13</sup> Q. Cicero’s treatise provides a valuable picture of the reciprocal nature of patron-client relationships.

2) They are asymmetrical. The inequality between the patron and client is fundamental to the relationship, for the power and resources available to the patron must not be at the disposal of the client, or the relationship would be unnecessary. The patron grants benefits to the client who is most often the one thought to be indebted, even though the client reciprocates, returning favors to the patron. Though the client sometimes instigates the relationship by requesting assistance from the

---

<sup>7</sup> Wolf (1966: 16).

<sup>8</sup> See, for example, Campbell (1968: 143) and Peters (1968: 181).

<sup>9</sup> Kenny (1960: 21), Eisenstadt and Roniger (1984: 90).

<sup>10</sup> See Q. Cicero, *On Standing for the Consulship*: I, V. Q. Cicero calls Marcus’ clients his “friends”. See our section on patronal friendship at §1.2.2. .

<sup>11</sup> Q. Cicero (1878: 91: *On Standing for the Consulship*: V).

<sup>12</sup> Q. Cicero, *On Standing for the Consulship*: I, V.

<sup>13</sup> Q. Cicero, *On Standing for the Consulship*: VIII.

patron, the relationship is only perpetuated at the behest of the patron, who ultimately controls the partnership.

3) Patron-client links are usually binding and extend over long periods of time. Since the “favors” granted by a patron might be of a very different sort than the favors returned by the client, calculating the balance of the relationship proves challenging. Often it is difficult to know when to say, “we’re even.” As one anthropologist writes, “Debt provides a basis for a permanent balance of expectations between two parties despite the asymmetrical character of the relationship... Debts maintain these relationships.”<sup>14</sup> In fact, a balance in patron-client relationships is usually avoided intentionally, in order that the relationship might be allowed to continue.<sup>15</sup> Consequently, patron-client relationships tend to linger indefinitely. Again Q. Cicero’s treatise on campaigning provides an illustrative example. He writes: “...Let [your patronal friend] understand...that he should serve you with all his heart; and that he will be making a good use of his influence, and gain your friendship, which will not be a short-lived one - lasting till he has voted, and no longer - but firm and lasting.”<sup>16</sup>

4) The bonds tying patron and client are not legal bonds but moral and affective. An element of virtue imbues all relationships between patrons and their clients, with trust being the most important virtue associated with patronage. The honor of the partners depends upon the trustworthiness, or loyalty, they practise in reciprocating favors. Loyalty “underwrites the promise of future mutual support.”<sup>17</sup> Another virtue integral to patronage is gratitude. Few things are more dishonorable than a client who fails to express gratitude.<sup>18</sup>

Patron-client relationships also involve an affective element. Like the kinship relationships they replicate,<sup>19</sup> they can provide an environment for trust and loyalty in an otherwise inimical world. Sydel Silverman elucidates the fictive kinship nature of patron-client relationships, and points out how they function to “supplement” inadequate kinship systems:

Stability of the patron-client tie is reinforced by its patterning after a kin relationship, the patron becoming “like a father” in obligations to and respect due from the client (as close connection between “patronage” and “paternalism” suggests). Personalized terms of address are used, there generally are affective overtones to the relationship, and frequently there is a denial of utilitarian motives and an insistence instead upon the non-priced demands of “loyalty,” “friendship,” or being “almost like

---

<sup>14</sup> Campbell (1968: 150).

<sup>15</sup> Silverman (1967: 287), Saller (1982:16-17) on the Early Roman Empire.

<sup>16</sup> Q. Cicero (1878: 493: *On Standing for the Consulship*: VII).

<sup>17</sup> Wolf (1966: 16).

<sup>18</sup> On the importance of a client’s gratitude during the Roman period, see Cicero, *De Officiis*, I: 47f., and Seneca *Epistles* 81.

<sup>19</sup> See Kenny (1960).

one of the family." ...In societies where social mobility is limited and where kinship therefore cannot function as a link between the local and the national system..., patronage provides a close, highly sanctioned, and self-perpetuating relationship between the systems.<sup>20</sup>

The parallels between kinship and patronage will be of utmost importance in our discussion of patronage in John, since kinship language figures so prominently in the Gospel. Therefore, we devote a section of this chapter to "Kinship and Patronage," below at §1.3..

5) Finally, patronal relationships are voluntary in that they are not legally enforceable.<sup>21</sup>

However, in some instances, coercion may be used to encourage the loyalty of a client. Further, in social situations where the less advantaged are socially and/or economically handicapped without the aid of a patron, one has to wonder whether the clients would describe patronage as voluntary or utterly necessary.<sup>22</sup>

1.2. *Variations of the patron-client model.* Not all patronal relationships look quite the same or function identically. For example, the degree of inequality between a patron and client can vary substantially. Therefore, those who study patronage find it useful to distinguish different variations of patronage. In an essay entitled "Variations in Patronage," Anton Blok identifies four ideal-types:<sup>23</sup> vassalage, brokerage, friendship, and patronage disguised.<sup>24</sup> The most significant variations for us are those which pertain to the period of John's Gospel, the period of the Early Roman Empire. We will, consequently, focus only upon brokerage and friendship, both of which were actively practised during that time.<sup>25</sup>

1.2.1 *Brokerage* distinguishes the form of patronage that emerges in a highly segmented society in which non-elites who comprise the bulk of the population lack the means to achieve contact with the

---

<sup>20</sup> Silverman (1977: 297-298).

<sup>21</sup> One exception to this aspect could be the *patronus-libertas* relationship of the ancient Roman world which we will discuss below, though there is little solid evidence to suggest that freedmen remained legally bound to their former masters into the Late Republic or Empire. See Brunt (1988: 407). Such legal bonds did, however, exist during the Early Roman Republic. See Eisenstadt and Roniger (1984: 54).

<sup>22</sup> See Flynn (1974) on patronage and coercion.

<sup>23</sup> The concept of "ideal types," which are abstract social constructs used primarily as instruments of classification, by which it is possible to group together different types according to their close empirical approximation, goes back to Max Weber. For his explanation of ideal types, see Weber (1962: 51-55).

<sup>24</sup> Blok (1969).

<sup>25</sup> We follow Saller (1982: 4) in designating brokerage and friendship to be the only applicable variations within the Roman context. The social context of feudalism differs from the social context of brokerage and friendship, which we will later discuss, in that bureaucratization and integration of society are nearly absent in such a context. Conversely, in the social context of brokerage and friendship, bureaucratization is present, albeit in the primary stages of efficiency and development. Bureaucratization and patronage move in opposite directions, so that in highly bureaucratized societies patron-client relations will be hard to find.



decision-makers who make up the elite center of influence.<sup>26</sup> Blok, in his research on the function of brokerage in community-state relations,<sup>27</sup> explains that brokerage emerges where sections of the population are not fully integrated into the state by direct contact with government. In such a system, brokers “mediate between the central administration and the people in gaps where no formal administration exists to perform the tasks.”<sup>28</sup> Brokers mediate between higher and lower orders while maintaining their separateness, bringing the more and less powerful into contact for personal benefit.<sup>29</sup> Here the term “power” means control over resources.<sup>30</sup> However, “resources” need not be of a material nature. The resources needed by a client might be human resources: a referral, a connection, or honor conferred.<sup>31</sup> A broker facilitates communication between a patron who has specific resources and a client who needs the resources which that patron possesses. While patrons offer “first-order resources,” such as jobs, land, honor, personal influence, political weight, or protection, brokers offer “second-order resources,” strategic contact with those who control first-order resources or who have access to those who do.<sup>32</sup>

Because a broker essentially straddles the gap between disparate social systems, it is necessary that a broker represent some of the interests of both. Silverman explains that a broker figure usually has “a distinctly defined status in both systems and operates effectively in both.”<sup>33</sup> Moreover, brokers must “understand the different values and symbols that set these structures apart.”<sup>34</sup> These characteristics make the broker an ideal mediator. Silverman finds two further criteria to be definitive for mediators, or brokers:<sup>35</sup> firstly, they must be “critical” in that the resources they provide must be of direct importance to those on either side of the mediation. Secondly, they must be “exclusive” in that the resources they provide through mediation must be unattainable otherwise. A broker must guard his “contacts” from competing mediators.<sup>36</sup> Such guarding is evident in Cyprian’s correspondence with the Christian community in Carthage, where he maneuvers to reestablish his

---

<sup>26</sup> Blok (1969: 369). For a fuller discussion of the social conditions favoring brokerage, see §1.4. below.

<sup>27</sup> Blok (1969). See Wolf (1956), Kenny (1960: 17-18), Silverman (1967), and Flynn (1974) for a similar approach.

<sup>28</sup> Saller (1982: 4).

<sup>29</sup> Weingrod (1977: 47).

<sup>30</sup> Boissevain (1966: 24) explains that a patron need not necessarily be of a higher social status than the client. He must be more powerful than the client in the sense of having access to resources the client cannot attain. Therefore patron and client are separated by a power, not a status, differential.

<sup>31</sup> Simply being linked to a powerful, reputable patron can increase a client’s honor, see Eisenstadt and Roniger (1984: 89, 92) and Campbell (1964: 233).

<sup>32</sup> Boissevain (1974: 147-148).

<sup>33</sup> Silverman (1977: 297).

<sup>34</sup> Blok (1969: 370).

<sup>35</sup> Silverman (1977: 294).

<sup>36</sup> For example, Eisenstadt and Roniger (1984: 80, 86, 90, 93).



position as patron/broker in Carthage after opponents, in his absence, have usurped his position as broker of forgiveness and reconciliation from God, readmission to the church, and material patronage.<sup>37</sup>

Finally, a broker does not aspire to replace the patron, but from the perspective of the client, the broker acts as a patron. With respect to the patron, the broker is regarded as a client.<sup>38</sup> The subordination of the broker to the patron, and the client to the broker is evident in Pliny's attempt to broker a deal between a patron of his and his client Tranquillus. Pliny begins by writing, "My friend Tranquillus has an inclination to purchase a small farm, of which, as I am informed, an acquaintance of yours intends to dispose. I beg you would endeavour he may have it upon reasonable terms." After asserting the case of his client, Pliny continues, "I mention these particulars, to let you see how much he will be obliged to me, as I shall to you, if you can help him to the purchase of this little box."<sup>39</sup> In this situation, Pliny's patron will also serve as a broker in getting Pliny's request fulfilled by the seller of the farm. The scenario demonstrates well the pyramidal structure of patronal (or brokerage) "networks."<sup>40</sup>

Brokerage constitutes one variation of the patron-client model. It is the variation most significant for our study of John.

1.2.2. *Friendship.* A fine line exists between brokerage and friendship but the distinction proves significant. The blurred distinction can in part be attributed to the complicated language of patronage. More pointedly, "friend" can be a euphemism for "client." In some contexts, referring to someone as one's client is deemed offensive,<sup>41</sup> for the term implies inferiority. "Friend" on the other hand is far more ambiguous and carries no negative implications. For this reason, patrons and brokers will sometimes call their clients "friends"<sup>42</sup> even when the relationship in view would more accurately be described as a brokerage relationship than one of patronal friendship.<sup>43</sup> Despite this problem, ways of distinguishing between the characteristics of brokerage and friendship do exist.

For example, Blok highlights how brokers and friends function differently in relation to the

---

<sup>37</sup> See Cyprian *Epistles* 38-41, 59.

<sup>38</sup> Blok (1969: 370).

<sup>39</sup> Pliny (1961/63, *Epistles* 1: 24).

<sup>40</sup> For other ancient Mediterranean examples of brokerage networks, see Pliny, *Epistles* 4:4 and Fronto, *Correspondence, Ad Amicos* ii, 8. Fronto relays that after his patronal friendship with Arrius Antoninus became known, he was approached by many people desiring to gain access to the benefits of Antoninus' patronage through him.

<sup>41</sup> See Saller (1982: 8-11 and 1989: 52,54) on the avoidance of "client" language in the Early Roman Empire.

<sup>42</sup> Boissevain (1966: 22) and Saller (1989: 56).

<sup>43</sup> See Campbell (1964). For more on "friendship" and its patronal overtones in the Ancient Mediterranean cultural context, see Adkins (1963), Brunt (1965), Hutter (1978), Rist (1980), and Price (1989).

state. While brokers facilitate contact between the governmental center and the peripheral groups who lack the means by which to influence the center, patronal friends function in more bureaucratized social systems where the periphery is more integrated into the center. Thus there exists a less dramatic social separation between patronal friends than between broker and client. Within the more bureaucratized context, the patronage of friends merely “lubricates” the system of social contact, the bureaucracy. Patronal friends allow the bureaucratic lines of communication available to the periphery to be used more effectively. The main task of patronal friends is to make recommendations, linking their clients with significant people,<sup>44</sup> potential patrons. Friends have a close personal connection with both of the people between whom they mediate. Still, the “friendship” of which we speak is not an emotional attachment between two people who share common interests, a modern, western understanding of friendship. Patronal friendships have strong instrumental overtones, although an affective element imbues the relationship.<sup>45</sup> The bond between friend and client-friend centers on an understanding of mutual benefit. However, while the relationship is largely conditional upon the benefits of the relationship for the parties involved, it is not as structured or purposeful as a patron-broker-client connection. Blok further delineates between brokers and friends by the frequency and multiplexity of their mediations:

I admit there are no hard and fast lines running between the role of a broker and that of a ‘friend’: the latter may equally be called a mediator. Yet, there is an important difference which justifies maintaining the distinction. Individuals who perform brokerage constitute clear and separate social categories... . They are usually supported by relatively stable followings on whose behalf they regularly interfere with outside authorities. In brokerage, patron-clientship is definitely many-stranded. Friends, however, mediate occasionally and as a rule on behalf of successive clients. It appears that their mediation is much less relevant to their own position in society than is the case with brokers whose mediation is their very *raison d’être*.<sup>46</sup>

### 1.3. *Kinship and Patronage.*

As mentioned above, patron-client relations are patterned after kinship relationships. Patronage is a form of “fictive kinship,” and it is not uncommon for kinship language to be used in describing patronal relationships.<sup>47</sup> In a commendation letter written by Fronto on behalf of a client, Faustianus, Fronto writes, “...I desire [Faustianus] to be loved no less than if he came from my own

---

<sup>44</sup> For example, see Pliny, *Epistles* 2: 13.

<sup>45</sup> Wolf (1966: 13). For illustrations of patronal friendship, see Pliny, *Epistles* 2: 4, 18; 3: 2, 8, 11.

<sup>46</sup> Blok (1969: 373).

<sup>47</sup> Silverman (1967: 287). For example, see Pliny, *Epistles* 6:32.

loins.”<sup>48</sup> Often patron-client ties function as a substitute in situations where kinship ties are either unavailable or unable to provide people with the security they need to survive in a hostile world. But can patron-client relationships take place between true kin members?

True kin members can operate as patron and client within patronage societies.<sup>49</sup> One anthropologist goes so far as to say it is ideal for a patron to be a kinsman.<sup>50</sup> Especially as brokers, family members are crucial to the system of patronage,<sup>51</sup> for they are among the key people called upon to use their “connections” to benefit others. If a family member can serve as a link to the patron in possession of needed benefits, the family member is the first person to whom one will turn. For one reason, in Mediterranean societies, kinsmen are thought more trustworthy than non-kinsmen.<sup>52</sup> For another, they bear the obligation to help their relations when needed. And if a man needs a favor from a patron who is unapproachable to him, he, or his brokers, will likely seek access through those closest to that patron, namely family members,<sup>53</sup> for proximity is of great importance to the patron and broker relationship.<sup>54</sup> Incidentally, this accounts for why, in patronage societies, the Virgin Mary, “the Mother of God,” is thought to be an insuperable broker between believers and Jesus/God.<sup>55</sup> As one man commented, “She’s most closely related to the Big Boss.”<sup>56</sup>

When a cousin, or aunt, or father, or child serves as a broker for a family member, providing him or her with a valuable connection or recommendation, the relationship between the two family members in the exchange looks like a patron-client relationship, and the person asking the favor will surely be called upon to reciprocate at some point in the future.<sup>57</sup> However, it is still more than mere patronage. The relationship between kin members practicing patronage is distinct from a patron-client relationship between non-kin. The most significant difference being that true kin are not voluntarily associated. They are inherently and necessarily accountable to one another.<sup>58</sup> Yet although this characteristic distinguishes true kinship from the fictive kinship of patronage, operationally, kin

---

<sup>48</sup> Fronto, *Correspondence, Ad Amicos* i,5 (1919, v.1: 291).

<sup>49</sup> See Saller (1982: 176-180) on the patronage of family members in the provinces of the Early Roman Empire.

<sup>50</sup> Campbell (1968: 143).

<sup>51</sup> See Kenny (1960: 20-21), Campbell (1964: 98-99), Boissevain (1966: 21-22, 24-29), Khalaf (1977: 196), Loizos (1977: 119), Davis (1977: 135), Cunningham and Sarayrah (1993).

<sup>52</sup> Campbell (1964: 95-96).

<sup>53</sup> de Silva (1996: 96).

<sup>54</sup> Saller (1982: 66-69).

<sup>55</sup> Foster (1967: 225-230), also Kenny (1960) and Boissevain (1966).

<sup>56</sup> Foster (1967: 226).

<sup>57</sup> Campbell (1964: 99).

<sup>58</sup> Boissevain (1966: 21-22).

members *do* function as patrons and clients, especially in the form of brokers.<sup>59</sup> A prominent example of a family member who functioned as a broker in the Early Roman Empire is Livia, the wife of Augustus. Livia constituted a great patroness in her own right, but also brokered many benefits to her clients as a result of her influence on Augustus and Tiberius.<sup>60</sup> The patronage of family members also appears prominent in the provinces of the Empire.<sup>61</sup>

1.4. *Social conditions favoring patron-client relations.* In an article entitled "An Attempt to put Patrons and Clients in their Place," John Waterbury pleads for a contextualized understanding of patronage. Waterbury argues for the importance of joining each examination of the subtle manifestations of patronage with an understanding of the social context in which patron-client relationships are generally embedded. "It is this context," he writes, "that can 'explain' the characteristics of brokerage networks rather than the other way around."<sup>62</sup> An understanding of the social context of patron-client relations can equip us to assess what interpretive weight is due to manifestations of patronage. Manifestations of patron-client relationships in social settings especially conducive to such relationships are more likely to reflect an all-embracing social system than are signs of patronage in settings inimical to their development.

Social factors favoring patron-client relations are many. Still Waterbury asserts that the single most definitive characteristic of the social context of patronage is a perception of vulnerability on the part of all social groups, from highest to lowest.<sup>63</sup> Eisenstadt and Roniger offer a more detailed description of the social conditions generating patron-client relationships,<sup>64</sup> and since their findings illuminate our model substantially we will summarize their four-part analysis with only minor adaptations.

1) The most prominent social feature favoring patronage is internal weakness, meaning the formal institutional structure of a given society is unable to foster cohesion within that society.

Usually in such an environment there exists a concentrated center of power with minimal ties to the

<sup>59</sup> See Boissevain (1966).

<sup>60</sup> Saller (1982: 64-66).

<sup>61</sup> Saller (1982: 176-180).

<sup>62</sup> Waterbury (1977: 341).

<sup>63</sup> Waterbury (1977: 336). Waterbury explains:

Patronage is after all a means of protection both for the weak and for the politically powerful and hence the politically exposed. One may posit that resort to patronage mechanisms will be the more pronounced where the weak are disproportionately weak, the strong disproportionately strong, and formal, alternative mechanisms for protecting citizens - laws, court systems, police, procedural rules of the games, etc. - remain embryonic, manipulable or perhaps imbued with little or no legitimacy (p.336).

<sup>64</sup> See "The Social conditions generating patron-client relations," in Eisenstadt and Roniger (1984) as well as Eisenstadt and Roniger (1980: 61-77).

periphery of the society which is composed of the masses. Within both center and periphery will be various distinct, relatively autonomous groups. But despite the organizational autonomy experienced by groups in these societies, they all share a general lack of autonomy in regard to access to major resources or to the influence necessary to implement their goals. Furthermore, even when the center of such societies manages to erect an elaborate administration, it still fails to exercise independent control over the periphery. It tends to impinge on the periphery only in the administration of laws, the exaction of taxes, the provision of some goods, and in the maintenance of peace and cultural/religious ties.<sup>65</sup> The situation just described, in which the center is unable to administer control over the periphery and the periphery is unable to manipulate the center for its own good, seems an adequate reflection of the shared vulnerability which Waterbury deemed central to the gestation of patron-client relationships.

2) Elites often arise in societies which favor patron-client relationships. These elites develop a power base by which they effect control over the flow of resources within society. This group perpetuates the basic cultural orientations institutionalized in the society and limits the availability of resources to other groups.<sup>66</sup>

3) The patterns outlined above naturally have repercussions for the major social structures of a society, especially for the economic and social hierarchical structures. A predilection for plundering, rather than developing, characterizes the practices of the resultant economy. Such practices are carried out by people at all levels of society. Furthermore, since most economic groups in this sort of economy display a low level of specialization and tend to avoid innovation in the means of production, the economic focus is generally on new sources for extraction, such as land or other natural resources, rather than on what can be done to make better usage of the resources already in hand, or on ways of improving existing industries. During the "traditional" periods of these societies, expansion of control over large territories took precedence over domestic economic development. Likewise, rulers sought total control of land ownership by vesting all land into the hands of themselves and their fellow aristocrats. As we will see, these characteristics are highly indicative of the period of John's Gospel, the period of the Early Roman Empire.

Another economic trend of these societies is the emergence of differentiated economic groups, such as merchants or manufacturers, which function to produce the resources to be extracted by the elite

---

<sup>65</sup> Eisenstadt and Roniger (1980: 64-65).

<sup>66</sup> Eisenstadt and Roniger (1984: 207-208).



class. It is considered crucial that these groups remain peripheral. Therefore, they tend to be segregated into special enclaves. Because of the highly segmented nature of the society, social hierarchies exist in small social groups, each with their own social categories.<sup>67</sup> Knowing one's proper place and maintaining it within one's various social environments is of utmost importance.

4) Certain basic conceptions of cosmic and social order underlie the patterns outlined above. Foremost of these orientations is "the combination of a conception of tension between a 'higher' transcendental order and the mundane order (especially in the 'religious' sphere) with the absence or relative weakness of any sense of necessity to overcome these tensions through some 'this worldly' activity...oriented to the shaping of the social and political order or its transformation."<sup>68</sup> There exists a strong sense of the givenness of the order of society and the lack of control, by all members of society, over its processes. It is believed that access to the higher orders is out of reach for most social groups and must be mediated. Concomitant to this belief is the widespread reliance on mediator figures in all areas of social interaction. This is especially the case in the religious sphere where certain figures, ritual experts or religious leaders representing the higher order, are endowed with access to the transcendental order which is unavailable to the masses.<sup>69</sup> While mediators, or brokers, serve a practical function in societies where integration between center and periphery is wanting, they clearly serve a cosmological purpose as well.<sup>70</sup>

As we shift our focus to the social realities of the Early Roman Empire, in Italy, Greece, Asia Minor, and Palestine, comparing the data from that period with our model, we hope to demonstrate the applicability of the patron-client model to a discussion of the socio-cultural world of John's Gospel. Since the location of John occasions extensive and ardent debate, a debate outside the bounds of this study, we will not focus our discussion on a particular location in the Mediterranean world. Rather, we assert that patronage featured in several Mediterranean societies at the time of John's composition.<sup>71</sup> We will begin our examination in Italy, since there the evidence of patronage is most

<sup>67</sup> Eisenstadt and Roniger (1984: 208-210).

<sup>68</sup> Eisenstadt and Roniger (1984: 206-207).

<sup>69</sup> Several scholars, most notably Boissvain (1969), have noted a connection between mediator-based religions, such as Catholicism, in which the Virgin Mary and the saints' function as brokers, and the prevalence of patron-client relationships. See also Kenny (1960), Foster (1967), Silverman (1977), Eisenstadt and Roniger (1984), Hall (1974) and Peter Brown (1982). Brown paints a brilliant picture of the blurred distinction between patronal and religious duties and the important function of a "holy man" as a broker or mediator in late antiquity. His historical perspective is especially felicitous in regards to our interest in the Roman period.

<sup>70</sup> Eisenstadt and Roniger (1984: 206-207).

<sup>71</sup> As it is certainly a fundamental feature of all *modern* Mediterranean societies (Davis [1977: 132-150]). In fact, Davis calls patronage "the bedrock of political life in most of those Mediterranean communities which anthropologists have studied" (p.147).

overt and since the structure of patron-client relations in Rome likely carried over into the provinces of the Roman Empire. But we will also ask whether patron-client relations featured in Asia Minor and Palestine, since these regions are viewed by scholars as possible locations of John.

## 2. Patron-Client Relations in the Early Roman Empire

2.1. *Patronage flourishes in Italy.* The early years of the Roman Empire exhibit a resurgence in patron-client relations in Italy. It is undisputed that patronage was pervasive in the Early Roman Republic. However, the Later Republic had seen a decline in patronage<sup>72</sup> because of the emphasis on democratic process and the contention between various social segments who were all fighting for their own interests.<sup>73</sup> Augustus put an end to this clamor of disparate voices when he became the first Roman emperor in 27 BCE. Power became completely concentrated in the Principate with little means of influence left to those outside the limited governmental boundaries.<sup>74</sup> This was the case no matter how assiduously Augustus worked to foster the illusion of free elections.<sup>75</sup>

The shift in government from Republic to Empire had far-reaching effects on the structure of society throughout the Roman Empire. One change that likely facilitated the resurgence of patronage was the gulf that developed between the central power structure in Rome and the great majority of people in the periphery with little or no access to that center. Patronal ties became essential to the peasants and urban plebs who sought representation before those in power.<sup>76</sup> Patronage was also essential for the Principate. The Emperor, the senators, and the relatively small body of other Roman officials and provincial leaders could not conceivably exercise control over so vast a region as the Roman Empire on their own.<sup>77</sup> Patron-client relationships allowed the localized government to stretch its tentacles far into the business of the provinces which were otherwise elusive. Patronage also encouraged loyalty, the key virtue in patron-client relations, toward the Principate.<sup>78</sup>

Increased taxation during the Empire contributed to the proliferation of patronage by forcing

---

<sup>72</sup> See Brunt (1988: 382-442).

<sup>73</sup> Brunt (1988: 386).

<sup>74</sup> Finley (1983: 52).

<sup>75</sup> See Wallace-Hadrill (1989: 79) and Ste. Croix (1954).

<sup>76</sup> Wallace-Hadrill (1989: 74-75) writes, "...access [to government] was mediated through individuals. It was this inaccessibility of the centre except through personal links that generated the power of patronage; and it was through the exercise of this power that patronage placed social integration within limits and so secured social control."

<sup>77</sup> Wallace-Hadrill (1989: 84).

<sup>78</sup> Saller (1982: 78).

the already struggling peasants and urban poor to seek the aid of patrons.<sup>79</sup> Loss of land and abject poverty were commonplace during this period, as were banditry and harassment by landlords.<sup>80</sup> It was entirely necessary for individuals and communities to approach patrons, asking them to plead their case in court, to provide them with protection, loans, or financial gifts, to gain them permission to hold market-days, or to win them leniency with tax collectors. The acute demand for patrons at this time and the sated market of clients constituted a crisis for clients but an auspicious situation for patrons. Indeed, Wallace-Hadrill attributes the proliferation of patronage during the Early Empire to the inability of patrons to meet the demands of the potential clients. He explains,

The ruling nobility, priests, magistrates, judges, legal counsel, and generals rolled into one, stood astride all the major lines of communication with the centre of state power and the resources it had to distribute... Their success in control lay as much in their power to refuse as in their readiness to deliver the goods. In this light, the inability of a few hundred to satisfy the needs of hundreds of thousands, their manifest failure to alleviate poverty, hunger and debt, indeed their exploitation of these circumstances to secure themselves advantage...need not be seen as arguments for the inadequacy of patronage, so much as the conditions of its flourishing.<sup>81</sup>

Historians have noted that the incentives for patronage shifted dramatically from the Republic to the Empire.<sup>82</sup> The harsh social and economic realities during the Early Empire<sup>83</sup> presented clients with an important incentive to forge patron-client connections. The motivation for patrons to form such alliances was also different than it had been during the Republic. The prize of winning a client's vote, the most weighty incentive for aristocratic patrons during the Republic, was no longer at issue during the Empire, for as Finley writes, "the final and effectively unrestrained power of decision on matters of policy rested with one man, not with voters."<sup>84</sup> Though the semblance of elections was revived by Augustus, in 14 BCE popular elections became nothing but a ceremony. New senators were chosen by the senate, usually under the influence of the Emperor.<sup>85</sup> And from Vespasian onward, the Emperor wrested unlimited power of *commendatio*. Whomever he favored won election.<sup>86</sup>

The new motivation for aristocrats to become patrons during the Early Empire was their need to build a good reputation, to muster influence and honor.<sup>87</sup> As stated, governmental positions were

---

<sup>79</sup> Saller (1982: 206).

<sup>80</sup> See Mac Mullen (1974).

<sup>81</sup> Wallace-Hadrill (1989: 73).

<sup>82</sup> Wallace-Hadrill (1989), Ste.. Croix (1954), and Nicols (1980).

<sup>83</sup> MacMullen (1974). Though the Roman and provincial aristocracies were prosperous during the Empire, the situation for peasants and urban non-elites was much different.

<sup>84</sup> Finley (1983: 52).

<sup>85</sup> Wallace-Hadrill (1989: 79).

<sup>86</sup> Ste. Croix (1954: 37). See also Garnsey and Saller (1987:25-26).

<sup>87</sup> Torjesen (1993: 101f).



generally decided by the Emperor (or under his influence). On what basis did he choose who deserved to be put in office? Ste. Croix argues it was on the basis of *suffragium*, a word which had meant “vote” in the Republic but came to mean “favorable assent” or “applause” in the imperial period. If a man could arouse enough *suffragium* to gain the interest of the Emperor or his advisors, he had a better chance of entering the governmental aristocracy.<sup>88</sup> It was thus very important for a man to secure a following, which usually came in the form of many clients. The collective loyalty of a man’s clients spoke favorably of him, bolstered his honor, and preceded him in all his affairs. Still, the ultimate rewards for patronage would, for elites, come from the Emperor in the form of public office.<sup>89</sup>

2.1.1. *Types of patron-client relationships in Italy.* One can offer no technical definition of patronage during the imperial period of Rome. The terminology of patronage was used at the time to denote a wide range of relationships between people of unequal power (in the sense of control over resources).<sup>90</sup> Nonetheless, within that wide spectrum patterns do emerge and certain types of patron-client relationships can be ascertained. Throughout Richard Saller’s study of “Personal Patronage under the Early Empire,” the following forms of patronage receive attention;<sup>91</sup> these forms are readily apparent in the literature from Italy, but also describe the general types of patron-client relationships found in the provinces of the Early Empire (see below):

1) *patron to client*: patron to an individual who lacks resources which the patron possesses.

This form of patronage is the type most often discussed in studies of patron-client relations. During the imperial period of Rome it was only one form among several. And it was common for individuals to engage in relationships with more than one patron.<sup>92</sup>

We have already alluded to some of the duties and benefits associated with this type of patronage. The favors exchanged between a patron and client would have varied with each relationship. Basically, patrons provided clients with protection, help in gaining citizenship or assignments (i.e. to military commands or governmental offices), resources such as money,<sup>93</sup> land, or

---

<sup>88</sup> See Pliny, *Epistles* 2: 9, in which Pliny appeals to his patronal friend Apollinaris in hopes of mustering support for his client, Sextus, who is a candidate for the Tribune. Pliny implies that he is soliciting his friends to act as clients of Sextus in order to bolster Sextus’ chances of acceptance by the Senate. Pliny serves as broker on behalf of Sextus, and notes that he will be under the obligation of Apollinaris should he choose to grant his request.

<sup>89</sup> Nicols (1980: 383-84) and Saller (1982: 206).

<sup>90</sup> Saller (1989: 60).

<sup>91</sup> Saller (1982).

<sup>92</sup> See Brunt (1988).

<sup>93</sup> Martial often writes of a usual dole (100 quadrantes, or 6.25 sesterces) allowed by patrons to clients (ie *Epigrams* III.7.1), and in one epigram, *Epigrams* I.59, complains to his patron in the resort town of Baiae that his “dole” is not enough to sustain him in such an expensive place (see commentary in Howell [1980: 245-249]).

state-subsidized food, or connections with other influential people. Pliny provided one client with 300,000 sesterces, enabling him to qualify for Roman knighthood. A subsequent letter from Pliny to this client not-too-subtly points out Pliny's expectations in lieu of his substantial monetary "gift."

...The length of our friendship pledges you not to forget this gift. I shall not even remind you to enjoy your new status with becoming discretion because it was received through me (as I ought to). Do I not know that you will do so unprompted? An honor ought to be guarded carefully when it must protect the patronage of a friend.<sup>94</sup>

Clients reciprocated their patron's favors with gifts of loyalty, public acclamation, sometimes in the form of inscriptions, and a willingness to support their patrons in time of trouble. At times they reciprocated with goods and services. Perhaps most importantly, both patron and client enhanced one another's honor.<sup>95</sup> T. Raymond Hobbs points out, "The patron gains honor through the widespread knowledge that he can sustain a large body of clients or retainers through his 'generosity,' and the clients gain honor by being associated with such a figure."<sup>96</sup>

Saller finds that in Italy, patrons and clients often called each other "friend",<sup>97</sup> even when their relationship was not one of "patronal friendship" as described below.

2) *patronal friendship*: patronal friendship between members of similar social situation who have unequal access to certain resources. During the Early Roman Empire, friendship, or *amicitia*, was an ambiguous term that was used to denote friendship between equals or nonequals. Only the *amicitia* among non-equals is appropriate to our discussion of patronage, however.<sup>98</sup> This particular kind of patronage may have been practised more widely among elites. An example of a patronal friendship would be the relationship between a junior and senior senator. The duties of a patronal friend might involve writing a recommendation, giving advice or criticism, or offering hospitality and other expressions of selfless service. The client friend would reciprocate with gratitude, respect, and public acclamation as well as by returning hospitality and service.

3) *patron to freedman*: patronage between a master and his former slave. This form of patronage was the least voluntary and most subject to coercion. During the Early Republic the patron-freedman bond was legally enforceable, and the freedman remained obligated to the master's

---

<sup>94</sup> Pliny, *Epistles* 1:19. Translation by Charles Bobertz (1997: 255).

<sup>95</sup> Moxnes (1991: 250). Moxnes conveys how the desirability of patronage for patrons was accentuated by the promise of honor: "Desire for repute (*doxa*) and honor (*time*) was a very important motive for patronage, so much so that the term "love of honor" (*philotimia*) developed the meaning of public munificence."

<sup>96</sup> Hobbs (1997: 502).

<sup>97</sup> Saller (1982: 8-15).

<sup>98</sup> For more on "friendship" and its patronal overtones in the Ancient Mediterranean cultural context, see Adkins (1963), Brunt (1965), Hutter (1978), Rist (1980), and Price (1989).

descendants even after the master's death.<sup>99</sup> Because of his close relationship to his patron, a freedman served as an important broker between the patron and his clients.<sup>100</sup>

4) *patron as legal advocate for his client*. Legal advocacy is not a separate type of patron-client relationship. Rather, defending a client in court was thought to be a duty of patrons in all types of patronal relationships, as defending a patron was the duty of clients.<sup>101</sup> Pliny expresses this sense of duty when he has been asked to take on the legal defense of the daughter of his patron, Corellius. He hesitates not a moment and describes how his intimacy with her father obligates him to return the favor by defending his family members in court.<sup>102</sup> Of course, not all advocates were patrons, but all patrons were expected to perform as advocates for their clients when their clients were in need of legal representation.<sup>103</sup> Patrons were especially active in the courts during the Republic,<sup>104</sup> to the extent that *patronus* became the most popular term for a barrister in the Late Republic. Although *advocatus* was used as often as *patronus* in the Empire,<sup>105</sup> and despite Augustus' reorganization of the court system, in imperial Rome patrons were still defending their clients in court.<sup>106</sup> In addition to arguing the case of his client, the patron might assist him by securing an agreeable court date or channeling recommendation letters to the proper parties. In a letter to the courts in Rome, written on behalf of his "friend" Sulpicius Cornelianus who was soon to be a defendant in those courts,<sup>107</sup> Fronto describes the important role patronal letters of recommendation had come to play there:

The custom of letters of commendation is said in the first place to have sprung from good will, when every man wished to have his own friend made known to another friend and rendered intimate with him. Then the custom gradually grew up to giving such commendations in the case of those persons even who were parties to a public or private trial... But as there had long established itself in the very courts of law this custom of bringing forward... witnesses to character to give in all honesty their own private opinion of the defendant, so these letters of commendation seemed to discharge the function of a testimony to character.<sup>108</sup>

---

<sup>99</sup> Eisenstadt and Roniger (1984: 54).

<sup>100</sup> Saller (1982: 64-69).

<sup>101</sup> Eisenstadt and Roniger (1984: 62) point out that when patronal "friends" represented each other in court, the one doing the pleading was usually designated *patronus* even if he stood in a lower position than the accused. In other words, if a "client" witnessed on behalf of a "patron" in court, the client would in that situation be designated *patronus*.

<sup>102</sup> Pliny *Epistles* 4: 17. See also his *Epistles* 3: 4.

<sup>103</sup> For a view of a patron who feels obligated, rather begrudgingly, to support his clients in court, see *Menaechmus*, Act IV, Scene II, lines 1-25. On the other hand, Pliny (1961/63, *Epistles* 1: 18) relays how even an inauspicious dream could not keep him from loyally going to defend his client in court, for as he writes: "I looked upon my faith towards a client to be as precious to me as my country."

<sup>104</sup> See the section "Patronage in the courts," in Gelzer (1975: 70-86) as well as Eisenstadt and Roniger (1984: 62).

<sup>105</sup> Saller (1982: 29-30, n.100).

<sup>106</sup> Brunt (1988: 414-15).

<sup>107</sup> Bobertz (1997: 254).

<sup>108</sup> Fronto, *Correspondence* (1919, v. 2: p. 282-285).

Presumably a client would stand in defense of his patron by attesting to his honor and good name, and by witnessing on his behalf, as Pliny does in the case of Corellia.

Patrons and clients in the court would enjoy the usual benefits of patronage in return for their assistance, as well as the possibility of cultivating prestige, which always accompanied fine oratory.<sup>109</sup>

In this study we will distinguish the reciprocal relationship between a patron and a province or community from patron client relations, and will call it “benefactorism.” The benefactor of a community bestowed favors upon an entire city or province and in turn received the support of the region and the esteem inherent in being its benefactor. This civic “benefactorism” has come to be distinguished from patronage<sup>110</sup> among other reasons because the benefactor can be almost coerced into providing benefits to a city or region, making the relationship less voluntary than the patron-client relationship. Other features setting benefactorism apart from patronage include the way benefits are conferred to a collectivity rather than to specific privileged individuals, and the fact that the inequality between the benefactor and beneficiaries is not as salient as that between a patron and client.<sup>111</sup>

2.2. *Patronage and Ritualized Friendship in imperial Greece and Asia Minor.* The prevalence of patron client relationships in Greece and Asia Minor proves more difficult to detect than in Italy, mainly because the Greeks lacked a vocabulary of patronage.<sup>112</sup> From the time of Romulus,<sup>113</sup> the institution of patronage, or *clientela*, was a well-oiled machine in Roman society and was distinguished by a patronage vocabulary with words for patron (*patronus*), client (*cliens*), and patronal friend (*amicus*), as well as a distinct terminology for the benefits of patronage (*beneficium*, *officium*, *meritum*, *gratia*).<sup>114</sup> Because the Greeks lacked a “language of patronage”, it is necessary

<sup>109</sup> Gelzer (1975: 85-86). Q. Cicero, *On Standing for the Consulship*: XIV.

<sup>110</sup> In particular by Stephan Joubert who presented an unpublished paper on the differences between patronage and benefactorism at the 1999 Context Conference, Portland, Oregon.

<sup>111</sup> Joubert (1999).

<sup>112</sup> For evidence of patron-client relations in modern-day Greece, see Campbell (1964: 213-262) and Eisenstadt and Roniger (1984: 77-81), and in modern-day Asia Minor (Turkey), see Eisenstadt and Roniger (1984: 84-87) and Sayari (1977).

<sup>113</sup> Dionysius Halicarnassus’ paints a rose-colored picture of Romulus’ system in *Antiquitates Romanae* 2.9-11.

<sup>114</sup> See Saller’s (1982: 7-22) treatment of the language of patronage in Italy. Greek words associated with patronage are the words πελάτης and κόλαξ, sometimes used for client, and the word προστάτης, sometimes used for patron.

when investigating patron-client relations in Greece and Asia Minor to look for other indicators than simply language. Our discussion of Greece and Asia Minor will focus on two indicators: the influx of population to urban centers during the early Roman imperial period and the Greek institution of “ritualized friendship”.

2.2.1. *Nucleation in imperial Greece and Asia Minor.* It was not unusual for Greek writers during the Roman Empire to lament the desolation of much of their landscape, to decry the ruins and wastelands.<sup>115</sup> For there is strong evidence that during the early Roman period many settlements in Greece and Asia Minor were abandoned and a shift from rural to urban settlement patterns took place.<sup>116</sup> While major centers like Corinth and Patrae in Achaia, and Ephesus in Asia Minor saw growth and prosperity during the period, most cities and rural settlements experienced marked decline.<sup>117</sup> Both Corinth and Patrae were of special interest to Rome because of the commercial and military advantages they offered. Rome invested vast sums of money into their beautification and development, inhabited them with Roman citizens, and imposed the language, culture, and institutions of Rome upon their Greek inhabitants. These were Greek cities no longer.<sup>118</sup> Ephesus earned Rome’s favor because of her role in the cult of the Emperor and on many occasions became the depository of Rome’s munificence.<sup>119</sup> Only the connections these cities had with Rome allowed them to flourish amidst the general poverty which resulted from the Roman provincial administration in Greece and Asia Minor.<sup>120</sup> The majority of the regions sank into economic decline which no doubt affected the rural peasant population as dramatically as any, as is evidenced by the fact that many small farm sites were abandoned during the early imperial period.<sup>121</sup>

In a superlative study of the Greek province of Achaia under Rome, Susan Alcock<sup>122</sup> argues that this abandonment pattern can be best accounted for by an influx of the rural farmsteaders to “nucleated” settlements or towns. Furthermore, she notes that along with decline in the number of rural sites during the period came a rise in the number of large rural estates. These larger sites could be

characterized as “villas” and are marked with signs of affluence, such as mosaics, private baths, and

<sup>115</sup> For example, Seneca, *Epistles* 14, 3 (91), 10, Strabo, *on Epirus* 7, 327, and Strabo *Geography* 8.8.1.

<sup>116</sup> See Alcock (1993) and Finlay (1844: 51-102). On the urbanizing trends of the Romans, see Macro (1980: 672-673).

<sup>117</sup> See Finlay (1844: 51-102) and Larsen (1938: 465-483).

<sup>118</sup> Finlay (1844: 72-75).

<sup>119</sup> See Magie (1950: 583-584) and Strelan (1996: 43-44).

<sup>120</sup> Finlay (1844: 72-75).

<sup>121</sup> Alcock (1993).

<sup>122</sup> Alcock (1993). Alcock combines archaeological, geomorphological and historical research on Greece to support her cogent thesis.



marble. They evidence a strong elite presence in the Greek countryside during the Early Roman Empire.<sup>123</sup> This shifting of land from the hands of many small-landholders to the hands of a few elite estate-holders suggests some kind of societal upheaval.

One factor likely perpetuating this pattern was the movement of many Roman aristocrats into Greece. That wealthy Romans owned a vast amount of land in the provinces of Greece and Asia Minor is well documented.<sup>124</sup> Many Roman businessmen also moved into the Greek cities and invested in rural lands. It is likely that indigenous peasants worked some of these lands as tenants, though it seems that only tenants of sizable properties took rural residences. Tenants of small properties would probably have chosen to live in towns and enjoy urban benefits.<sup>125</sup> Yet, with all things considered, Alcock contends that one cannot attribute the evacuation of rural settlements solely to foreign immigration.<sup>126</sup> Alcock postulates an additional explanatory factor: the desirability of nucleation.

It is plausible that during a period of increasing social stratification<sup>127</sup> and political change, such as the early Roman imperial period, the rural population might have willingly sought the benefits of nucleated urban dwelling. Among the benefits of nucleation Alcock includes security, or defense. During the period prior to Augustus, warfare was prolific in many areas of Greece. And the settlement patterns we have been discussing were instigated during those times. More nucleated dwellings would have offered provincial peoples "safety in numbers." But why would these patterns have persisted in the *pax Romana*? There are two, not unrelated, possible reasons. One is the introduction of imperial taxation during the period.<sup>128</sup> This caused an increased demand for cash, which could have forced subsistence farmers into wage labor, the markets for which were concentrated in the cities, or crop specialization and cash cropping, a risky and highly competitive endeavor.

Alcock explains:

---

<sup>123</sup> Alcock (1993: 63-71).

<sup>124</sup> See Alcock (1993: 72-80), Broughton (1934), Strelan (1996: 96), and Finlay (1844: 51-102).

<sup>125</sup> Alcock (1993: 85).

<sup>126</sup> Alcock (1993: 77-79).

<sup>127</sup> See Finlay (1844: 51-102), Magie (1950: 535-536), MacMullen (1974), and Macro (1980: 662, 690-692). These authors assert that Rome greatly enhanced the position of the provincial aristocracy and managed to transform the democratic institutions of Greece and Asia Minor into timocratic governmental structures. The propitious status of the aristocracy during this period often manages to shroud the actual economic situations of imperial Greece and Asia Minor. That all was not well with the masses is seen in their occasional violent outbursts. Macro writes:

C. S. Walton's thesis that little of the affluence that accrued to the cities since the inauguration of Peace with Augustus' reign had filtered down to the urban masses and the peasants is probably right: it is seldom the case in an expanding economy. The local aristocrats became the more entrenched in their power due to increased wealth, a stranglehold on the political process and Roman support. Riot and arson were left as the prerogative of the "have-nots" (p.690).

<sup>128</sup> On the strain imposed on the Greeks by taxation, and the abuse and exploitation that went along with taxation, see Finlay (1844: 51-102). Corruption and bribery in the provinces became especially pronounced after the reign of Claudius who transferred the responsibilities of tax collection to the local governmental officials. See Magie (1950: 540-542).

The desire to supplement income and raise necessary revenue would have led individual households to a more general economic diversification. If opportunities to seek additional and alternative employment were to be seized, these chances were possible only through the town. In addition to farming their own land, individuals could work for wages, sharecrop, take on tenancies, or pursue non-agricultural employment. ...Urban residence would facilitate this mixture of tenures and options.<sup>129</sup>

The second possible reason for nucleation is intertwined with the economic instability resultant from taxation and increased social stratification. In such an environment, the underprivileged and vulnerable are likely to seek social ties with the more powerful and affluent members of society who will be able to offer them assistance in times of need. In other words, they are likely to seek patronage. Even the non-elite citizens of "free" cities which were not directly taxed would have felt the pressure to form vertical ties with the increasingly influential elite class.<sup>130</sup> The economic imbalance, greater polarity in life style, and pronounced social stratification of the time would have necessitated such ties.<sup>131</sup> *Alcock asserts that patronage was one of the main benefits sought by the Greeks leaving the countryside for the cities.* A need for patronal networks would have routed peasants away from an isolated existence in the countryside.<sup>132</sup>

2.2.2. *Ritualized friendship in Greece and Asia Minor.* Another indicator of patronage in Greece and Asia Minor is the institution of "ritualized friendship." "Ritualized friendship" is an anthropological term defined as "a bond of solidarity manifesting itself in an exchange of goods and services between individuals originating from separate social units."<sup>133</sup> Usually the social units of these friends are separated spatially, meaning the friends might live some distance from one another. They may also be separated vertically. Vertical distance, or inequality, is, however, not a definitive criteria of ritualized friendships. Consequently, not all ritualized friendships are patron-client relationships, since the latter, by definition, must be unequal relationships. Patron-client relations often fall within the ambit of ritualized friendship nonetheless.

Ritualized friendships factored markedly in Greek social life.<sup>134</sup> Reciprocal, "give and take"

---

<sup>129</sup> Alcock (1993: 107).

<sup>130</sup> Finlay (1844: 64) demonstrates that while free cities were exempt from some official Roman taxes, citizens of those cities could still be burdened financially by Rome: "The free cities and the allied states were treated with as much injustice as the provinces, though their position enabled them to escape many of the public burdens. The crowns of gold, which had once been given by cities and provinces as a testimony of gratitude, were converted into a forced gift, and at last extorted as a tax of a fixed amount." See also Magie (1950: 474).

<sup>131</sup> Alcock (1993: 115) and MacMullen (1974).

<sup>132</sup> Alcock (1993: 113-114).

<sup>133</sup> Herman (1987: 10).

<sup>134</sup> Herman (1987).



relationships between individuals were thought to be essential to social survival.<sup>135</sup> This was especially so in pre-monetary times. Yet even in a monetary economy, there were certain services which money could not buy, and people relied on friends for these services. For example, “friends” could function as bankers, lawyers, hotel owners, or “insurance” agents for each other.<sup>136</sup> One form of ritualized friendship was that between ξένοι, or “guest-friends” who would provide hospitality to their friends from other communities.<sup>137</sup> Another form was “inegalitarian friendship,” which we would call patronage. Aristotle contended that, ideally, all friendships should be equal, though he acknowledged a special breed of friendship between unequals.<sup>138</sup> Such relations were utilitarian, solely based on an assumption of mutual advantage.<sup>139</sup> Often ritualized friendships between equals mutated into inegalitarian, patron client relationships as the balance of the exchanges became uneven. “Relative status might alter in the course of the interaction,” explains Herman, so that “[the relationship] could have shaded off into a relationship in which one partner attained a position of strength, the other a position of weakness. In other words, a horizontal tie linking together social equals may have been transformed into a vertical patron-client bond.”<sup>140</sup> This is why Aristotle believed it far wiser to confer benefits to others than to receive them. He lauded the man who does not fall into a position of inferiority by accepting favors, and praised the man who overpays what he has received from his friend so that his friend might be in his debt.<sup>141</sup>

We now turn our attention to the eastern provinces of the Roman Empire, particularly Palestine, to demonstrate even more broadly the applicability of the patron-client model to the social world of the Early Roman Empire.

2.3. *Patron-client relations in the eastern provinces of the Roman Empire.* Our discussion of patronage in the eastern provinces of the Roman Empire will focus primarily on Palestine. Still, it is arguable that patronage was operative in several provinces of the East. Pliny’s correspondence with Trajan, for example, repeatedly manifests evidence of patron-client relations as Pliny plays the role of

---

<sup>135</sup> Stambaugh and Balch (1986: 63-64).

<sup>136</sup> Hands (1968: 33).

<sup>137</sup> See Herman (1987). Herman presents a fascinating picture of how Greek aristocrats utilized their “connections” with friends of other communities, their ξένοι, to further elite interests as well as to widen the gap between themselves and their fellow non-elite citizens.

<sup>138</sup> See Aristotle, *Ethica Nicomachea* Book 8.

<sup>139</sup> Aristotle, *Ethica Nicomachea* Book 8, Chap 8.

<sup>140</sup> Herman (1987: 39). This same pattern has been observed by Boissevain (1966: 23), Pitt-Rivers (1971: 154), and Campbell (1964: 232).

<sup>141</sup> Aristotle, *Ethica Nicomachea* Book 4, Chap 4.

“broker” between his subjects and the Emperor,<sup>142</sup> frequently petitioning Trajan, the ultimate patron of the Roman Empire, for favors on behalf of various citizens of Bithynia, his clients. Furthermore, certain studies have demonstrated the extent of patron-client relations in other areas of the Roman East, such as Syria.<sup>143</sup>

In all areas of the Roman Empire, Roman officials, like Pliny, played an important role as patrons and brokers. In Palestine, another group of individuals equally bore the weight of the role of patron/broker: the Temple aristocracy. Two groups appear to have been especially predominant in the affairs of Palestine under the Roman Empire: the “chief priests” and a group of laity referred to variously as “the elders,” “the leading men,” “the first men,” “the rulers,” “the notable men,” “the eminent men,” and “the respected men.” All such terms were used to designate the same group.<sup>144</sup> These *social groups*, rather than formal institutions, collectively represented the interests of the Israelite community before the Romans. The “chief priests” and influential non-priestly elites were the premier advisors and decision-makers of Palestine. This receives attestation in several historical accounts.<sup>145</sup>

James McLaren, in his study *Power and Politics in Palestine*, examines twenty-one representative crisis events in Palestine that reveal the power structures operative in Palestine during the Roman period, prior to 70 C. E. The historical accounts of these events that make up the data for his study are drawn from Josephus, Philo, the New Testament Gospels and Acts of the Apostles, Tacitus, and tannaitic literature. Space does not allow us to treat each event separately, but only to offer a cursory summary of some of the main conclusions of McLaren’s scrupulous work. His study demonstrates several important points. The following are most germane to our discussion of patronage. 1) Administration in Palestine during the Roman period was based on “influence,” and this was determined by privilege and public status rather than office. 2) As already mentioned, the chief priests wielded the most influence, with the active and past high priests being included as the pinnacle of this group, as well as a group of influential elites referred to as the “leading men” or by other equivalent titles. Both of these social groups consisted mainly of wealthy aristocrats.<sup>146</sup>

---

<sup>142</sup> For example, see Pliny’s *Epistles* 10: 21, 23, 26, 33, 37, 58, 85, 86a & b, 87, 93, 94, 95, 96, 104, and 106.

<sup>143</sup> See Liebeschuetz (1972) and Peter Brown (1982). Though both studies deal with the Late, rather than the Early, Roman Empire, they reveal the monumental force of patronage in Syria by the early fourth century C. E.. Assuming that institutions like patronage do not emerge out of a vacuum, we suggest patron-client relations must have been a reality in those regions in the centuries prior to that time, even if only in an incipient form.

<sup>144</sup> McLaren (1991: 204-205).

<sup>145</sup> See McLaren (1991).

<sup>146</sup> McLaren (1991: 206).

Moreover, it appears the “chief priests” constituted an elite group of priests in close association with present or past high priests.<sup>147</sup> 3) The main tool of diplomacy used by these groups was mediation, in many cases with Roman officials. 4) The “chief priests” and influential non-priestly elites were expected to speak on behalf of the Israelite population and to represent their interests, as well as to be accepted in Roman circles.<sup>148</sup> 5) The advent of Roman rule provided greater opportunity for prominent Israelites to participate actively in administrative affairs.<sup>149</sup>

McLaren manages to paint a striking picture of brokerage in Palestine without ever actually alluding to patron-client relations. The political system operative in Palestine during the Roman period appears to have been markedly dependent upon patronal networks. This interpretation of McLaren’s findings receives ample support from Saldarini’s study of Pharisees, scribes, and Sadducees.<sup>150</sup> He writes, “The Pharisees, scribes, Herodians, etc. ...probably functioned as unofficial patrons and brokers for the people and perceived Jesus as a threat to their power and influence.”<sup>151</sup> With Rome as a well-suited and willing patron, the opportunities for brokerage on a “national” level were abundant and were rapaciously seized by the chief priests and influential elites vying for power in Palestine.<sup>152</sup> Like ideal brokers, these aristocratic Israelites were in a unique position to mediate between the power structure in Rome and the client-kingdom of Palestine.

This was also true of the Herodians, who perhaps provide the most lucid depiction of patronage in Palestine.<sup>153</sup> Herod the Great was called “friend of the Romans” or “friend of the Emperor” in several inscriptions,<sup>154</sup> and Josephus frequently describes the relationships of the Herodians to the Caesars as one of “friendship.”<sup>155</sup> And, especially in Josephus, “friendship” clearly has a patronage connotation when used in regard to political maneuvering.<sup>156</sup> Josephus also describes Augustus as Herod’s patron.<sup>157</sup> When Herod implores the patronage of Augustus after his patron Mark Anthony has died, Augustus accepts and lavishes benefits on Herod, his new client, or “friend.” The forming of this alliance is portrayed by Josephus as a textbook exchange between a grateful and loyal

<sup>147</sup> McLaren (1991: 203).

<sup>148</sup> McLaren (1991: 220).

<sup>149</sup> McLaren (1991: 224).

<sup>150</sup> See Saldarini (1988: esp. 154-156, 197-198, 302).

<sup>151</sup> Saldarini (1988: 156).

<sup>152</sup> See McLaren (1991:188-191).

<sup>153</sup> See Richardson (1996).

<sup>154</sup> See the inscriptions in Richardson (1996: 203-209).

<sup>155</sup> For example, Josephus, *The Jewish War* 1: 187, 281, 293, 386-400, 402, 407, 463, 465, 468, 490, 504, 511, 513-518.

<sup>156</sup> See also the mentions of “friends” and “friendship” in 1, 2, & 3 Maccabees which likewise have a definite connotation of patronage. References to patronal friendship appear in Israelite literature in a non-political context in Wisdom 7:14 and 27 (cf. 8:18).

<sup>157</sup> Josephus, *The Jewish War* 1: 407.

client and a magnanimous patron.<sup>158</sup> Shortly after their friendship begins Augustus and his army pass through Syria and are granted Herod's utmost hospitality, after which:

The thought naturally occurred to Caesar and his men that in view of his generosity Herod's kingdom was far too small. So when Caesar arrived in Egypt, and Cleopatra and Anthony were now dead, he showered honours upon [Herod], restored to his kingdom the area sliced off by Cleopatra, and added Gadara, Hippus, and Samaria, with the coastal towns Gaza, Anthedon, Joppa, and Strato's Tower. He further made him a present of 400 Gauls, to be his body guards as they had formerly been Cleopatra's. Of all his liberality here was no more potent cause than the open-handedness of the recipient.<sup>159</sup>

The dynamics of a patron and client are unmistakably evident in this portrayal of Herod and Augustus, both in Caesar's "liberality" and Herod's "open-handedness." Herod appropriately reciprocates his patron's favors by naming some of his building projects in Augustus' honor, including his grandest accomplishments of Caesarea Maritima and Sebaste with its Temple of Augustus.<sup>160</sup> The amicable relations established between the Herodians and Rome during this time continued on after the deaths of Herod and Augustus.<sup>161</sup>

It is unlikely that the population of Palestine would have remained untouched by the patronage which figured into their national politics so heavily. Rather, the people would have been well aware of the patron-client ties their leaders had established with Rome, and would have taken any opportunity to use those ties to their advantage. Such was the case in the mid-first century C. E. when Agrippa II convinced the Emperor Claudius to allow the Israelites control over the high priest's vestments. This intervention was quite welcomed by the Israelite community.<sup>162</sup> Moreover, the pattern of patronage operative in the politics of Palestine would ostensibly have been replicated in the patterns of social interaction on all levels of society in Palestine. Unfortunately, we are forced to speculate at this point since we lack detailed accounts of social interaction on all levels of society in Palestine. However, the increased social stratification, the harsh economic strain on the peasants, and the political upheaval of Palestine during the Early Roman Empire<sup>163</sup> are all factors which would encourage patronage. Rabbinic sources from the third century C. E. reveal that certainly at that time patronage was rampant throughout Palestinean society, causing the rabbis to inveigh against

it.<sup>164</sup> Though we do not have documented evidence of this sort from the first century to suggest, for

<sup>158</sup> Josephus, *The Jewish War* 1: 386-393.

<sup>159</sup> Josephus, *The Jewish War* 1: 395-397.

<sup>160</sup> Richardson (1996: 178-179).

<sup>161</sup> See Richardson (1996).

<sup>162</sup> Josephus, *Antiquities* 20: 9-11.

<sup>163</sup> See Freyne (1995) on Galilee, as well as Applebaum (1974, 1977) and Horsley (1989: 83-101) on Palestine in general.

<sup>164</sup> See Sperber (1971).

example, that Palestinian peasants relied on patronage, we do know that many of the socioeconomic factors which fostered patronage in the third century were operative in the first century as well. Most of the factors mentioned in the concluding paragraph of Daniel Sperber's, "Patronage in Amoraic Palestine (c. 220-400): Causes and Effects," should resonate with anyone familiar with the socioeconomic situation in first century Palestine:

Social disorder and unrest from within, danger and insecurity from without, crippling burdens of taxation ever coming anew with unpredictable suddenness..., droughts and successive crop-failures followed by famine...and plague, these were the lot of the poor Palestinian peasant around the middle of the third century. Naturally he fell prey to the exploitation of the wealthy, and small wonder if at times he was even attracted to the comforts of his protection, the security of patronage.<sup>165</sup>

Interestingly McLaren concludes his aforementioned book by observing that the Israelites were able to retain their community identity and partnership with the Romans as long as they remained "loyal in friendship to Rome."<sup>166</sup> In other words, perhaps they might have maintained an auspicious position if they had been willing to play by the rules of patron-client relations in their dealings with Rome. This position is forwarded in a rabbinic text (*Abot of R. Nathan*, Version A) where R. Johanan ben Zakkai, "a friend of Caesar's" and one of the principle leaders at Jamnia, is credited with saving the Israelite religion by means of his "tolerant attitude towards the Romans."<sup>167</sup>

One further source of support for patron-client relations in Palestine during the Early Roman Empire could be the fact that patronage is thoroughly ingrained in Israeli culture today. Anthropological studies of both present-day Israelis and Palestinians show that patron-client relations are the primary mode of operation among them.<sup>168</sup> Despite efforts by some to encourage more universalistic methods of decision-making and access to resources in Israel and the Middle East, patronage thrives. It constitutes an ingrown structure that seems impossible to eradicate. In a study among Israelis the practice of *protektzia*, defined in one of the standard dictionaries of the Hebrew language as: "patronage, a recommendation for preferential treatment,"<sup>169</sup> was rated more effective than any other means for getting one's needs met,<sup>170</sup> and it was found that, given the opportunity, most Israelis use *protektzia* whenever it is needed.<sup>171</sup> The practice of patronage among Palestinians and Middle Easterners is known as *wasta*, a word which refers to both the action and the person who

<sup>165</sup> Sperber (1971: 242).

<sup>166</sup> McLaren (1991: 225).

<sup>167</sup> Manns (1988: 9-11).

<sup>168</sup> See Danet (1989) and Izraeli (1997) on Israel and Cunningham and Sarayrah (1993) on the Middle East in general.

<sup>169</sup> Danet (1989: 16).

<sup>170</sup> Danet (1989: 146).

<sup>171</sup> Danet (1989: 150, 170).



mediates or brokers access to resources on behalf of another.<sup>172</sup> Wasta is so pervasive in the Middle East that “most Middle Easterners view wasta as part of the environment.”<sup>173</sup> Every crucial point in life, from entry into higher education, to obtaining a job, to disputes with other citizens, is determined by wasta, therefore, one’s place in society, one’s quality of life, depends largely upon the wasta connections at one’s disposal.<sup>174</sup> Consequently, while the wasta system can be highly beneficial to certain individuals in critical situations, it is a debilitating structure for many within the society.

2.4. *The social context of patron-client relations and the Early Roman Empire.* The societies found in Italy, Greece, Asia Minor, and Palestine<sup>175</sup> during the early imperial period align well with our model of “social conditions favoring patron-client relations.”<sup>176</sup> Furthermore, they share certain features which anthropologists have found common to Mediterranean societies. A short description by David Gilmore summarizes some of those features:

The Mediterranean societies are all undercapitalized agrarian civilizations. They are characterized by sharp social stratification and by both a relative and absolute scarcity of natural resources... There is little social mobility. Power is highly concentrated in a few hands, and the bureaucratic functions of the state are poorly developed... These conditions are of course ideal for the development of patron-client ties and a dependency ideology.<sup>177</sup>

Our model of social conditions favoring patron-client relations is indicative of both historical and contemporary Mediterranean societies,<sup>178</sup> as societies of the Early Roman Empire displayed the following features of our model:

- 1) center and periphery were largely estranged,<sup>179</sup>
- 2) a relatively small group of autonomous elites dominated,<sup>180</sup>

<sup>172</sup> Cunningham and Sarayah (1993: 1). See also Farrag (1977).

<sup>173</sup> Cunningham and Sarayah (1993: 15).

<sup>174</sup> Cunningham and Sarayah (1993: 12).

<sup>175</sup> See Horsley (1989) for an helpful picture of the social context of first-century Palestine.

<sup>176</sup> Please refer back to § 1.4. if helpful.

<sup>177</sup> Gilmore (1982: 192).

<sup>178</sup> Eisenstadt and Roniger (1984: 61-62).

<sup>179</sup> Wallace-Hadrill (1989: 74-75) points out that the constant expansion of Rome to incorporate new territories greatly compounded this problem by constantly adding to the peripheries. Concomitant to the influx of newcomers to Rome was a reticence to allowing these newcomers unmediated access to power in Rome. He concludes that patron-client relations functioned significantly to integrate the many newcomers into Roman society while buffering the center against unwanted influences. Patronage allowed those in the periphery to gain representation, which they certainly needed from time to time, before the decision-makers in Rome. Such access was virtually impossible without patronal ties.

<sup>180</sup> MacMullen (1974: 88-89) provides us with some telling statistics in this regard. Richard Rohrbaugh (1991: 133) estimates that in the preindustrial city the dominating elite class made up only 5-10 percent of the total population. See also Alcock (1993: 84-88) on Greece and McLaren (1991) on Palestine.

- 3) economic practice was expansive and exploitive rather than innovative,<sup>181</sup>
- 4) society was segmented into many differentiated groups,<sup>182</sup>
- 5) within these differentiated groups existed elaborate hierarchies,<sup>183</sup>
- 6) the majority of property belonged to the small group of elites,<sup>184</sup>
- 7) there existed a strong sense of the givenness of society and the elusive nature of the given cosmic and social orders,<sup>185</sup>
- 8) and reliance on mediator figures was pervasive.<sup>186</sup>

The affinity between the social context of patronage according to our model and the social context of the Early Roman Empire is highly suggestive. Within such a social context patron-client relationships are likely to be pervasive. The closeness between our model and the historical social realities of the Early Roman Empire, as well as the evidence that patronage was present in the culture of that time and place, indeed prolific in some areas, legitimates the use of the patron-client model for interpreting the Gospel of John, a text coming out of that context. Furthermore, as Waterbury suggests, the social context of patronage, as outlined about, can help to explain manifestations of patronage when they are found within it. These manifestations can be interpreted in light of their social function in facilitating contact between disparate orders, in providing access to limited and monopolized resources, and in helping the power center to effect control within an otherwise weak internal system. Hopefully these insights can also assist the outsider in understanding social relations within such a context. For example, it can help one to comprehend the gravity of a breakdown in patronal relationships within such a context, or to interpret manifestations of brokerage, or emphasis on mediators, within a religious tradition. It is on this note that we turn our attention back to John's Gospel.

---

<sup>181</sup> This is exemplified by the fact that agriculture and other exploitations of the land (i.e. mining and brickmaking) continued to be nearly the sole means of economic advancement in the Roman Empire (MacMullen 1974: 126). See also Finley (1985: 95-122 and 188-191) and Alcock (1993: 80-88).

<sup>182</sup> MacMullen (1974: 17-18).

<sup>183</sup> In *Politics in the Ancient World* (1983: 27-28), Finley comments on the significant role that social hierarchies played in Greco-Roman society: "...political stability rested on the acceptance in all classes of the legitimacy of status and status-inequality in some measure... Hierarchical values were built into the education of Greeks and Romans of all classes." See MacMullen's (1974: 138-141) "Lexicon of Snobbery."

<sup>184</sup> MacMullen (1974: 38-39) sums up the socioeconomic situation of the Early to Late Roman Empire with three words: "fewer have more." Finley (1985: 119) relays how in some exceptional cases in the Roman Empire, for example in North Africa, there existed private land-holdings the size of whole territories and cities (p.112). In stark contrast to this extreme scenario was the plight of most peasants who were fortunate if they inhabited a plot of land barely large enough to support a small family (See Finley's chapter entitled "Landlords and Peasants"). See also Finlay (1844: 51-102) for evidence of such discrepancies in Greece, and Freyne (1995) on Galilee.

<sup>185</sup> Bruce Malina's (1996; 179-214) discussion of the Mediterranean concept of time and the difference between experienced and imaginary time has served to elucidate for us how Mediterranean people conceive of the "transcendent."

<sup>186</sup> For a fascinating description of this phenomenon in one area of the Roman world, see Peter Brown (1982).



### 3. Patron-Client Relations in John with respect to Jesus

3.1 *Why patron-client relations?* At this point in our discussion we should have a clear view of the prevalence and importance of patronal relationships within the socio-cultural world of John's Gospel and be equipped with an understanding of what they entailed. Wherever the author and his audience may have been located within the Mediterranean area during the Early Roman Empire,<sup>187</sup> whether in the traditional location of Ephesus<sup>188</sup> or in another region, patronage would have been a social reality for them. Still, the presence of patron-client relations within the socio-cultural context of John may in itself not be an adequate reason for choosing that model. We are confronted, then, with a variety of inquiries: what makes patron-client relations the model best apt to explain and make meaningful the pneumatology of John? Or, why is a model from the social sciences more illustrative than another model, such as the "agency" model? As was suggested earlier, a theoretical model should be one deemed to share certain properties with the research subject. What properties of John's theology, specifically his pneumatology, have to do with patronage? In other words, how does the Gospel of John suggest the model of patronage? It was also asserted that a model functions to open up new possibilities and questions within an investigation. What questions does the patron-client model rouse in relation to the pneumatology of John? These issues will be addressed throughout the course of this study, though we now intend to offer an initial explanation of our choice of the patron-client model.

First, however, it must be stated that the preference for a social-scientific model does not imply that other models, theological models for instance, are unsuitable for use. In all cases, the subject matter of an investigation should determine the sort of model chosen. Recent biblical scholarship has, especially in the case of the Gospels, begun to grapple with the socio-cultural element of the biblical texts and, subsequently, to recognize the benefits of employing social-scientific models toward that purpose. The biblical texts were written within certain socio-cultural contexts and

---

<sup>187</sup> The exact location of the Gospel is not of pivotal importance for our study. A general recognition of its place within the empire of Rome and its location in the Mediterranean area proves adequate for allowing us to make certain abstract assumptions about its social context. While we are not suggesting that the various societies of the Roman world were homogenous, we are suggesting that patronage was a persistent factor throughout the Mediterranean context.

<sup>188</sup> For an interesting study on Ephesus as the location of John, see Sief Van Tilborg's (1996) *Reading John in Ephesus* (Leiden: E. J. Brill). Especially germane to our discussion are his observations about the role of the high priests of Artemis as mediator/ broker figures between the people of Ephesus and Rome (p. 101-107).

their meanings were determined by those contexts; language is a socio-cultural construct, the meanings within a language being socially determined. Therefore, one should interpret the meaning of a text in light of its socio-cultural context. However, such an approach should be viewed as complementary, not inimical, to other approaches.

In reflecting on the pneumatology of John we found the following theme to be dominant in the author's use of spirit: "spirit," which Jesus provides, opens up the possibility of access to God and, in the Farewell Discourses where Jesus is starkly portrayed as the only "way" to the Father (14:6), the Paraclete provides access to Jesus. Furthermore, the access to God afforded by Jesus and the Paraclete seems to serve a legitimating function for the author. The author and his community can claim to know God (14:7) because they have access to God's patronage through Jesus and the Paraclete. In other words, they can claim to have the patronage of God through Jesus and the Paraclete's brokerage.

The mediation, or brokerage, of the Paraclete is inextricably tied up with the oft-noted Christological theme of Jesus' providing, or mediating, access to God. Jesus' role in this regard compels some scholars, signally Bultmann, to interpret aspects of Johannine Christology in the light of ancient mediator figures.<sup>189</sup> However, to my knowledge, no studies have been done which apply the model of patronage/brokerage in its interpretation, except for the commentary of Malina and Rohrbaugh.<sup>190</sup> We assert that the portrayals of both Jesus and the Paraclete as mediator figures suggest patron-client relations, and specifically brokerage, as a workable model for the interpretation of the Christology and pneumatology of John. Finally, the use of the word "παράκλητος" to denote the spirit in the Farewell Discourses lends considerable support to this thesis since it will be shown that "παράκλητος" was a word used for patrons/brokers around the time when John was written.

Before we begin our discussion of spirit in John's Gospel we will conclude this chapter with a brief discussion of patron-client relations with reference to John's Christology, for it is integrally connected to pneumatology in John, and will necessarily be a focal-point throughout our study.

### 3.2 *Jesus as the Broker of God.* For the Israelites, God was the patron *par excellence*.<sup>191</sup>

Throughout their history God had provided them with the ultimate first-order resources: firstly covenant, as well as the Law, protection, guidance, and material provision. These were always

<sup>189</sup> Bultmann (1971).

<sup>190</sup> Malina and Rohrbaugh (1998). Bruce Malina (1996: 143-175) also employs the patron-client model in interpreting the Christology of the Synoptic Gospels, and de Silva (1996) uses the model for interpreting the Christology of Hebrews.

<sup>191</sup> Hobbs (1997). Interestingly, rabbis in the third century C. E. polemicized against patronage by encouraging Israelites to rely solely upon God as Israel's patron rather than rely on human patrons (Sperber [1971: 236]).

mediated through significant persons who functioned as brokers to God.<sup>192</sup> God's brokers, figures like Abraham and Moses and the prophets, as well as the Temple and eventually the synagogue, facilitated the access which the people of Israel had to Yahweh. *Conversely*, in John Jesus is portrayed as solely able to provide access to Yahweh. Because Jesus alone has dwelt with the Father and has been sent "from above," he qualifies as the only being fit to bridge the divide between the earthly realm and the realm of God (1:14-18; 3:13-15; 3:31-36; 5:21-24; 6:27, 32-33, 46-51b; 8:12-16; 8:23-24; 10:11-15, 25-30; 14:3-7; 17:6-11). He is portrayed as replacing Moses, the broker *par excellence* (Ex 32:11-14; Num 11:2-3; 21:7-9), in his role as God's mediator.<sup>193</sup> Furthermore, he proclaims, "before Abraham was, I am" (8:58) and in so doing usurps Abraham's position as broker to God and provocatively aligns himself with Yahweh.<sup>194</sup> The Fourth Evangelist depicts Jesus as the supreme "hinge" figure between God and humanity. Unlike all human, earthly forms of brokerage, Jesus is "heavenly," and not another human attempt at access to the realm of God. Jesus is sent from God as God's extension of patronage to those who will believe in him.<sup>195</sup> And according to the Fourth Evangelist, Jesus is the *only* one who has come from the realm of God (1:18; 6:46). Thus he is the only one who can provide access to that realm. This appears especially significant in light of the estranged relationship the Johannine Christians seem to have had with the Ἰουδαῖοι.<sup>196</sup> The traditional brokers of the Ἰουδαῖοι are rendered ineffective in light of Jesus.

Allow us to digress very briefly to explain who constitutes the Ἰουδαῖοι in John and to briefly address the recent contribution to this discussion by Stephen Motyer.<sup>197</sup> The precise identity of John's "Ἰουδαῖοι" defies apprehension, but like Motyer, we believe they are primarily the "supremely religious" of Judea rather than Judeans in general. Thus the term "Ἰουδαῖοι" does not primarily denote

<sup>192</sup> Brokerage is practised widely in Mediterranean culture, and we have demonstrated the applicability of the model to discussions of Palestine. It is misguided to think of brokerage or patron-client relations as a "hellenistic" institution and thus irrelevant to a discussion of the prophets.

<sup>193</sup> On the view of Moses as mediator between God and the Israelites in later Israelite literature, Mathews cites *AsMoses* 3:11-13, 11:16-18; *Bk of Jub* 1:18-21; *PesiktaRabbati* 21:4; *RabNum* 16:27, 19:33; *RabEsth* 7:13; *BTal Sota* 13b, 14a; *Philo Life of Moses*, II: 166, 192.

<sup>194</sup> See Ball (1996) for an excellent treatment of the use of the I AM in this instance and in general.

<sup>195</sup> John's "sending language" reveals the influence on the Fourth Evangelist of the Old Testament sending forms, in which God is predominately the sender (see Anderson 1989: 167). In the Old Testament God sent brokers, including the prophets. In John, however, Jesus repeatedly subverts traditions about the prophets and is portrayed as the only one who has come from the realm of God (1:18; 6:46). As this study will show, the Evangelist's "sending language" is connected with the theme of Jesus' ability to broker access to God. The portrayal of God as sender in John may reveal the influence of the Old Testament on the Fourth Evangelist but, as Anderson asserts (p.178f.), John's sending formulae are very distinct.

On the preferability of brokerage to the model of "agency", see our Chapter Four, §2.1. .

<sup>196</sup> We have chosen not to translate the Johannine term "Ἰουδαῖοι." The problems inherent in its translation are well-rehearsed. For studies summarizing the issues involved, see Ashton (1995), and Meeks (1975).

<sup>197</sup> Motyer (1997: 54). The bibliography on treatments of the Ἰουδαῖοι in John is extensive, including Meeks (1972, 1975), Lowe (1975), Bassler (1981), von Wahlde (1982, 1984, 1999), Ashton (1985), Freyne (1985), Tomson, (1986), Johnson (1989), Smith (1990), Dunn (1992), Kysar (1992), and Schnelle (1999).

a geographical designation.<sup>198</sup> Ἰουδαῖοι are those who rigidly adhere to the religion of Judea whether living in Judea or not.<sup>199</sup> Furthermore, the Ἰουδαῖοι of John's Gospel function as "representative" characters. They sometimes parallel "the world," those who reject Jesus. Thus the title comes to bear a "pejorative connotation" in John.<sup>200</sup> Unlike Motyer however, who plays down the offense which this portrayal of the Ἰουδαῖοι would have evoked, we believe the characterization of the Ἰουδαῖοι in John would in fact be heard by Ἰουδαῖοι as "insulting and denigrating."<sup>201</sup> Though, as Motyer suggests, it is unlikely the "supremely religious Judeans" would have read the Gospel of John, we believe the portrayal of them in John would have insulted all Ἰουδαῖοι who were not followers of Jesus. Motyer makes very little of John's dualistic context in which "the world" and "the Ἰουδαῖοι" stand opposed to Jesus.<sup>202</sup> Perhaps this is because he is (justifiably, we believe) put off by those who have interpreted Johannine dualism in gnostic terms.<sup>203</sup> But we hope to show that the terms "the world" and the "Ἰουδαῖοι" do figure prominently in the dualism of John and are a feature of the in-group/out-group language common in Mediterranean culture.<sup>204</sup> We find the Fourth Gospel's alignment of the "supremely religious Judeans" with darkness and "the devil" disconcerting, but this feature of John's dualism cannot be smoothed over by asserting, as does Motyer, that the Evangelist uses such harsh language to prophetically "warn" Ἰουδαῖοι and persuade them to accept Jesus. Motyer fails to take into account the group-oriented nature of Mediterranean peoples and the power of the "insult" in that culture. We concur with W. D. Davies, who writes, "The reaction of Jewry to John's Christian challenge... could have been nothing but sharp and bitter."<sup>205</sup> Still, it is equally unwarranted to conclude the Evangelist characterizes all the Ἰουδαῖοι, or all the world, as unredeemable. The disciples were chosen "out of the world," and future disciples will be made from those of the world (17:18-20). Surely the Evangelist hopes such disciples will be many.

To return to our discussion of brokerage and Jesus, it is plausible that when the Johannine Christians split with the synagogue concern arose that they had severed the brokerage ties connecting

<sup>198</sup> Therefore we choose not to translate the word Ἰουδαῖοι as "Judeans," since this naturally conjures up images of "place." The translation "Jews" proves even more problematic. "Jews" is an anachronistic designation for those of the religion of Judea during the first-century since religious Jews of today belong to traditions largely developed after the time of Jesus, and most ethnic Jews of today trace their origins to Turkic and Iranian ancestors, not to the Judeans of first-century Palestine (see Malina and Rohrbaugh [1998: 44-46]). Because such difficulties surround the translation of Ἰουδαῖοι, we have chosen to leave it untranslated.

<sup>199</sup> Motyer (1997: 56).

<sup>200</sup> Motyer (1997: 57).

<sup>201</sup> Contra Motyer (1997: 209).

<sup>202</sup> He also devotes scant attention of the word "ἀποσυνάγωγος" in John.

<sup>203</sup> Motyer (1997: 186, 194, 218).

<sup>204</sup> See Malina and Rohrbaugh (1998: 238-240).

<sup>205</sup> Davies (1996: 57).

them to Yahweh, since the patronage of Yahweh had always been mediated through the Torah, prophets, and cultus of the Israelite religion.<sup>206</sup> At least this would have been how the Ἰουδαῖοι viewed their situation. Might the Johannine Christians also have been anxious about this perceived loss of brokerage after their estrangement from the synagogue?<sup>207</sup> In a culture where it was believed that the gap between higher and lower orders had to be bridged by a mediator,<sup>208</sup> it is quite possible they did. Consequently, it was crucial for them to reassess their position in relation to Yahweh God. In the process of this reassessment they developed a conception of Jesus as the only legitimate broker between God and humanity, and a simultaneous denigration of all earthly forms of brokerage to God. According to this conception, Jesus was sent by the Father as a means of access to his lavish patronage, an extension of grace. The Ἰουδαῖοι had failed to accept Jesus' role as inexorable broker to God, preferring the brokerage they believed they already had through Abraham and Moses and the Law (5:39, 45-46; 8:39). The Ἰουδαῖοι had, therefore, forfeited the patronage of Yahweh and were now illegitimate (8:41-44). According to the Johannine Christians, they were no longer God's children. Jesus had superseded Israel's prophets and religion as broker between God and humanity. This theme of "replacement" recurs in John, though in fact, Jesus not only "replaces" these things but proves superior in all aspects to Israel's brokers. The position just outlined makes clear that we do not believe the Johannine Christians were expelled from the synagogue *because of* their belief in Jesus as sole broker to God. As Malina and Rohrbaugh point out in their characterization of the Johannine Christians as an antisociety, "John's Gospel reflects the alternate reality John's group set up in opposition to its opponents."<sup>209</sup> Precisely what precipitated the expulsion of the Johannine Christians from the synagogue we cannot know, though certain latent references to the event in the Gospel may suggest that simply confessing belief in Jesus led to expulsion (see 9:22; 12:42). But it was out of this social crisis that the Evangelist's alternate view of reality evolved and it is the instigators of that crisis which his unique language, which Malina and Rohrbaugh call his "anti-language,"<sup>210</sup> serves to resist.<sup>211</sup>

<sup>206</sup> See also Franck (1985: 101f.) on the mediatorial function of the synagogue.

<sup>207</sup> This is not to suggest that loss of brokerage was the only thing the Johannine Christians had to fear about separation from the synagogue, just that it was a significant issue for them. Fear of persecution would have been another pressing factor, since Christians ejected from the synagogue would no longer be associated with the state-protected ethnic religion of the Israelites.

<sup>208</sup> Boissevain (1966: 30) and Eisenstadt and Roniger (1984: 206-207).

<sup>209</sup> Malina and Rohrbaugh (1998: 9).

<sup>210</sup> Malina and Rohrbaugh (1998: 7-15).

<sup>211</sup> Rensberger (1988: 28) and Mathews (1992: 187, 190) are among the scholars who believe that John's radical Christology developed *out of* the experience of synagogue expulsion, which forced the group to forge its own identity.



Jesus is especially well suited for the role of broker since, like all brokers, he represents the interests of both sides, in his case God and humanity. Barrett takes note of Jesus' aptness for the role of mediator, writing:

Being truly God and truly man, and being also the image of God and the archetype of humanity, he is an ontological mediator between God and man; he is no less a mediator of true knowledge, and of salvation.<sup>212</sup>

Jesus straddles the divide between the divine and human. This aspect of John's Christology has occasioned attempts to explain the seemingly contradictory nature of Jesus' character in the Gospel.<sup>213</sup> Some scholars have found it difficult to accept that Jesus' fleshly characterization and divine characterization could have been fashioned by the same author and argue that one or the other is foremost in the author's mind,<sup>214</sup> sometimes attributing the contradictory elements to a redactor. But it is the presence of both human and divine elements in Jesus' characterization that enables him to represent the interests of both God and humanity and, consequently, makes him an ideal broker figure. This ability to integrate disparate spheres or systems, while keeping them still separate, chiefly characterizes brokers according to our model.

The two essential characteristics of a broker that are noted by Silverman, namely critical status and exclusivity, are also fulfilled in Jesus. A broker must make possible a connection which could otherwise not be made, or facilitate the supply of a need which could be supplied no other way. In this sense, the broker is of critical importance. In John, Jesus' position is critical. Salvation, or eternal life, depends on him (3:15-16; 3:36; 5:24; 6:40; 6:54; 8:24, 31-32, 36, 51; 10:27-28; 11:25-26; 14:6; 17:2-3). Moreover, Jesus' brokerage is exclusive in that no other human broker or human institution can mediate access to God's patronage (1:18; 8:23-24; 10:7-10; 14:6-7). Access to the Father is available exclusively through the Son Jesus. The attributes of Jesus as a broker align well with our model of brokerage.

Now let us explore how Jesus as broker aligns with the defining characteristics of patron-client relations, as outlined in the beginning of the chapter: 1) *Patron-client relationships are reciprocal*. In exchange for Jesus' brokerage, clients, the believers in this case, must provide certain benefits or resources in return. This is indeed evident in the way Jesus' followers are to obey him (14:15), to testify on behalf of him (15:27), to believe in him (3:36), and to follow his example (13:15). 2) *Patron-client relationships are asymmetrical*. This point appears axiomatic in the Gospel. Jesus is in all ways

<sup>212</sup> Barrett (1978: 74-75).

<sup>213</sup> Take for instance Käsemann (1968) and Anderson (1996).

<sup>214</sup> For example, Käsemann (1968), Bultmann (1971), O'Grady (1984), and Neyrey (1986).

superior to the disciples (15:20), to all persons for that matter. 3) *Patron-client relationships are binding and long term.* Jesus' brokerage activity extends even beyond this life (14:3,18). 4) *Patron-client relationships involve a moral and affective element.* In John, Jesus and his disciples share an emotional as well as a spiritual attachment. Jesus loves the disciples and the disciples love him (16:27). Jesus calls his disciples "friends" (15:15) and "little children" (13:33). At the death of a disciple, Lazarus, Jesus weeps (11:35) and comforts the others who mourn. Likewise, the loyalty expected within patron-client relationship distinguishes the Jesus-disciple relationship. This becomes especially clear when one of Jesus' followers, Judas, becomes his betrayer. Judas' disloyal demeanor results in his being characterized as demonic (6:71; 13:2). 5) *Patron-client relationships are voluntary.* Throughout the Gospel narrative we are introduced to characters whose interaction with Jesus presents them with a decision. This dramatic element in the story reveals the highly voluntary nature of discipleship. From Nicodemus to the Samaritan woman to Pilate, characters in the Gospel are never manipulated into following Jesus, or into accepting his brokerage, but are free to choose for themselves. All in all, the evidence supporting a characterization of Jesus as a broker figure proves strong. As a broker, Jesus is ideal.

Still, a dilemma seems to have evolved among the Johannine Christians in which Jesus' brokerage capacity came to be doubted in light of his seeming absence. Perhaps the question arose of how believers could continue to rely on Jesus as a broker when he was no longer around. That the problem of Jesus' absence was weighing upon the community is reflected perspicuously in the Farewell Discourses.<sup>215</sup> There the problem is addressed and resolved. Its resolution will be given greater attention later in our study. Let it suffice to say that the brokerage of Jesus comes to be strongly reasserted in these discourses. Furthermore, one finds that in the Discourses the spirit, fashioned as the Paraclete/Spirit of Truth, comes to be depicted as a broker as well. However the Paraclete's role as broker centers on providing believers with access to Jesus after Jesus' departure.

---

<sup>215</sup> See the studies of the Farewell Discourses by Woll (1981) and Segovia (1991).



## Chapter Two

### Four Approaches to Johannine Pneumatology

Four scholars who have studied “spirit” in the Gospel of John are C. H. Dodd, George Johnston, Felix Porsch, and Gary Burge. We have chosen to survey their approaches in the hope of gaining a representative picture of the scholarship on Johannine pneumatology, for these scholars demonstrate the wide range of perspectives from which it can be viewed. C. H. Dodd focuses mainly on the word “πνεῦμα,” its meaning in different literary contexts, and its specific usage in John; George Johnston executes a religious-historical study of John’s pneumatology, emphasizing the significance and meaning of the Paraclete in relation to other religious-historical notions which may have influenced the Fourth Evangelist; Felix Porsch’s study is exegetical and in it Porsch strives to demonstrate the continuity between the spirit sayings in the Gospel proper and those in the Farewell Discourses; and Gary Burge offers a theological interpretation of John’s use of spirit, in his exegetical investigation of the spirit passages in John and 1 John. In our brief treatment of each study, we cannot begin to canvas the full range of these authors’ very nuanced arguments. We hope to capture the essence of their main theses and to respond to them in a way which does justice to the overall works. Our critique will focus both on their judgments and on the utility of the methods employed in the different interpretations of John’s pneumatology.

1. C. H. Dodd. As part of his larger work entitled *The Interpretation of the Fourth Gospel*,<sup>1</sup> Dodd includes a study of spirit in John. His study is predominantly an etymological examination of the meaning of πνεῦμα in various contexts. Dodd demonstrates that in both hellenistic and hebraic thought, the word had two general meanings. The Greek word πνεῦμα, most readily defined as “wind” or “breath,” represents firstly the power-source in nature, and secondly the “soul” or “life-breath” of humankind, though this is stated differently by different schools of thought.<sup>2</sup> This latter aspect can sometimes be indicative of the essential nature of a person. The Hebrew word רוח which the LXX regularly translates as πνεῦμα also carries the connotations of “wind” and “breath,” though the term seems to have taken on the meaning of a supernatural, elemental power force, of which wind was only a

---

<sup>1</sup> Dodd (1960: 213-227).

<sup>2</sup> Dodd (1960: 213).

symbol.  $\pi\nu\epsilon\upsilon\mu\alpha$  primarily referred to this irresistible force which could possess a person at any time, empowering him or her to accomplish extraordinary feats. It was particularly associated with prophetic fervor and revelation. Eventually  $\pi\nu\epsilon\upsilon\mu\alpha$  was thought to be responsible for heightened intellectual acumen and wisdom, though this still in a supernatural sense. As with  $\pi\nu\epsilon\upsilon\mu\alpha$ ,  $\pi\nu\epsilon\upsilon\mu\alpha$  later (Ps 104:29-30; Isa 57: 16) came to parallel “soul” ( $\text{נֶפֶשׁ}$ ), meaning “the principle of life, which God imparts to man at his beginning, and recalls at death.”<sup>3</sup> While hellenistic writers and hebraic writers had slightly different conceptions of “spirit,” according to Dodd, in Hellenistic Judaism these different conceptions acted and reacted upon one another.<sup>4</sup>

For example, while the Stoics understood  $\pi\nu\epsilon\upsilon\mu\alpha$  as an “element” pervading the entire universe which had the attribute of thought, hermetic writers tended to think generally of  $\pi\nu\epsilon\upsilon\mu\alpha$  as an ubiquitous life-giving and empowering force in the universe and as the vehicle of thought and life in humankind. For Stoics, the element “ $\pi\nu\epsilon\upsilon\mu\alpha$ ” properly belonged to the remotest reaches of the universe, but had become imbued through all of nature and in the human being took the form of a soul. They called this vital, intelligent force “God” and virtually equated it with the divine  $\lambda\acute{o}\gamma\omicron\varsigma$ . Hermetic writers believed that  $\pi\nu\epsilon\upsilon\mu\alpha$  possessed a quality of divinity, but this is variously described by different authors and seems to have been a source of confusion for them in that they largely integrated the Stoic notion of a material element in the universe with the concept of  $\pi\nu\epsilon\upsilon\mu\alpha$  as the transcendent God. Still, although hermetic writers seem to reveal hebraic influences in their conception of  $\pi\nu\epsilon\upsilon\mu\alpha$ , the hebraic understanding of  $\pi\nu\epsilon\upsilon\mu\alpha$  as divine inspiration or revelation is not expressed in hermetic literature.<sup>5</sup>

Dodd discusses how Philo especially brings together the hellenistic and hebraic understandings of  $\pi\nu\epsilon\upsilon\mu\alpha$ .<sup>6</sup> Philo used  $\pi\nu\epsilon\upsilon\mu\alpha$  for “wind,” but also views  $\pi\nu\epsilon\upsilon\mu\alpha$  as the stamp of divine power, or as a reflection of God’s nature in humankind. The hebraic influence issues starkly in his belief that prophetic inspiration closely aligns with  $\pi\nu\epsilon\upsilon\mu\alpha$ . Dodd also argues that the pneumatology of the Gospel of John reflects both hellenistic and hebraic influences.<sup>7</sup> In 3:8, the Fourth Evangelist demonstrates knowledge of the meaning of  $\pi\nu\epsilon\upsilon\mu\alpha$  as “wind”: “The [ $\pi\nu\epsilon\upsilon\mu\alpha$ ] blows where it chooses, and you hear of it, but you do not know where it comes from or where it goes. So it is with everyone who is

---

<sup>3</sup> Dodd (1960: 215).

<sup>4</sup> Dodd (1960: 215).

<sup>5</sup> Dodd (1960: 213-219).

<sup>6</sup> Dodd (1960: 219-222).

<sup>7</sup> Dodd (1960: 222-227).

born ἐκ τοῦ πνεύματος.” The meaning of spirit as the inward person seems to be implied in 11:33: “[Jesus] was greatly disturbed [τῷ πνεύματι] and deeply moved.” At the point of Jesus’ death πνεῦμα has a connotation of the “life-breath” or “soul” of Jesus: “...he bowed his head and gave up [τὸ πνεῦμα]” (19:30), though a double meaning may have been intended by the author. And in 6:63, πνεῦμα preserves the sense of a life-giving power: “It is [τὸ πνεῦμά] that gives life; the flesh is useless.” According to Dodd, the author’s meaning in these instances seems to be fairly coherent with the basic meanings of the word in both hellenistic and hebraic thought. In the other occurrences of πνεῦμα in John, the Evangelist seems to be adapting the hellenistic and hebraic definitions and, in the process, developing his own concept.

In 4:23, 14:17, 15:26, and 16:13, πνεῦμα is integrally bound up with truth (ἀλήθεια), and Dodd contends that truth in John has a hellenistic sense of reality or knowledge of reality. Thus, πνεῦμα relates to ultimate reality in John. It is also conceptualized as the “way” to truth (16:13). In this sense it parallels Philo, where he speaks of a divine spirit guiding one’s feet into the way of truth (*De Vit. Moses* II, 265), and Hermetic texts where νοῦς and λόγος, close associates of πνεῦμα, are said to guide people into “knowledge of the light.”

Lastly Dodd acknowledges πνεῦμα as a vehicle of rebirth in John. However, he believes this rebirth is apprehended along hebraic lines rather than hellenistic. In the Fourth Gospel, rebirth contrasts with fleshly birth, in the tradition of the Old Testament. Dodd contends that this emphasis sets the Johannine notion of rebirth apart from dualistic notions because the Old Testament contrast is not one of substance but of power. Dodd asserts this is true of John. In contrast to human flesh which is powerless and subject to decay, πνεῦμα is a regenerative and life-giving power. In Dodd’s summation, it is the driving force behind the Johannine “rebirth.”

Dodd summarizes his study of Johannine pneumatology by noting that, most importantly, John defines deity as πνεῦμα. Spirit is not a third figure of the Trinity, though the Paraclete seems to be, but rather the essence of the Trinity. Conversely, the essence of humankind is σὰρξ. Therefore, the only way for humankind to rise from degenerative, fleshly life to the life of πνεῦμα is by way of spiritual “rebirth.” This function of spirit, providing a way for “man to rise from the lower life to the higher,”<sup>8</sup> stands out in Johannine pneumatology. And since, in John, the spirit could not be given until the “hour” of Jesus’ glorification, birth ἐκ πνεύματος can only be understood in light of Jesus’ life-giving death.

Dodd’s explanation of the etymological background of the Johannine “πνεῦμα” proves useful for

<sup>8</sup> Dodd (1960: 226).

helping us understand how the term was used in different contexts which may have had an influence on the Fourth Evangelist. He also explicates the difficulties inherent in translating and interpreting the word πνεῦμα. But we have to question how extensive are the benefits of such etymological studies as Dodd's. John's usage of the term πνεῦμα is unique and the meaning of πνεῦμα in John can only be ascertained from the context of each occurrence of πνεῦμα in the Gospel. This is an important, if obvious, consideration. We cannot translate or interpret πνεῦμα in John based on how that word was used someplace else. The meaning and usage of the word in other texts can guide us to a range of possible meanings, but it cannot in itself assist us in translating and understanding the unique usage of the word in John. Only a careful study of the context of πνεῦμα in John will allow us to do so. As our study progresses, we will see that the Evangelist repeatedly adduces spirit in the setting of a contest between Jesus and other brokers. We submit that one can only understand the meaning of spirit in these passages in the light of this context.

Dodd's interpretations of the Johannine "Spirit of Truth," as reflecting a hellenistic understanding of ultimate reality, are compromised by the fact the phrase appears in 1QS (3:13-4:26), where it bears strongly dualistic connotations. His convenient categorizations of hellenistic and hebraic are brought into question when one considers the mixture of influences in the Qumran literature. Finally, in saying the Gospel expresses hebraic ideas in its contrasting of spiritual and fleshly birth, Dodd seems to be countering the Bultmannian tendency to find latent Gnostic dualism in John. Dodd wants to argue that in its πνεῦμα-σάρξ antithesis, John is more hebraic than hellenistic. However, Dodd's description of this antithesis and its cosmological significance in John<sup>9</sup> sounds close to the general Gnostic myth as it has been reconstructed by scholars.<sup>10</sup>

In our study, we will challenge Dodd's view that truth refers to "ultimate reality" in John, as well as the implication that John's spirit language does not reflect an essentially dualistic world view.

2. *George Johnston.* Johnston's study of Johannine pneumatology, *The Spirit-Paraclete in the Gospel of John*,<sup>11</sup> incorporates all the references to spirit in John, but the figure of the Paraclete comes to dominate Johnston's attention. His interpretations of the references to spirit outside of the Farewell Discourses comprise a small portion of his study and will not be our focus. In summation, Johnston finds

---

<sup>9</sup> Dodd (1960: 224-225).

<sup>10</sup> See Jonas' (1992: 42-47) abstract of the main tenets of Gnosticism for a brief outline of the mythological core of gnostic thought.

<sup>11</sup> Johnston (1970).

that spirit outside the Discourses denotes divine power.<sup>12</sup> Spirit as a power has a cleansing function,<sup>13</sup> and is the force behind inward, true worship.<sup>14</sup> He interprets 7:39 to mean that believers will become a source of life, since the divine power of spirit wells up within them.<sup>15</sup> It is not entirely clear, however, how Johnston envisions the spirit fulfilling these functions, though he does view the work of the Church as empowered by the divine spirit.<sup>16</sup>

It is Johnston's theory about the Paraclete that sets his work apart. His conclusions seem largely to stem from his interpretations of the phrase "Spirit of Truth," a title which accompanies that of "Paraclete" for the spirit in the Farewell Discourses. This title appears in Qumran literature denoting an angelic intercessor whose nemesis in the dualistic struggle between light and darkness is called the "Spirit of Error." Though Johnston believes the line of contact between John and Qumran to be indirect, he finds that the term "Spirit of Truth" in John derives from a tradition shared with Qumran, and that the Spirit of Truth had come to be identified in pre-Christian times with the angel of truth, Michael.<sup>17</sup>

Johnston believes the Fourth Evangelist engages in polemic with Christians who, like those of Qumran, share dualistic ideas about the Spirit of Truth and Spirit of Error, and moreover, who identify the angel Michael with the true spirit of God.<sup>18</sup> Furthermore, he agrees with Mowinckel<sup>19</sup> that the word *παράκλητος* has roots in the Hebrew word *Uylm* which can refer to an angelic intercessor.<sup>20</sup> Johnston proposes that the Fourth Evangelist combined the term "Spirit of Truth" with "Paraclete" in order to confront a heretical angelology.<sup>21</sup> Unlike Otto Betz who equates John's Spirit of Truth with the angel Michael, who appears in Revelation (12:7),<sup>22</sup> Johnston contends that the purpose of the Evangelist is to rebut "heretical claims for an angel-intercessor as the spiritual guide and guardian of the Christian church."<sup>23</sup> In John, the Spirit of Truth equals the spirit of God, or the spirit of Christ, and therefore cannot be associated with Michael.

---

<sup>12</sup> Johnston (1970: 119).

<sup>13</sup> Johnston (1970: 42).

<sup>14</sup> Johnston (1970: 45).

<sup>15</sup> Johnston (1970: 48).

<sup>16</sup> Johnston (1970: 38).

<sup>17</sup> Johnston (1970: 120).

<sup>18</sup> Johnston (1970: 122).

<sup>19</sup> Mowinckel (1933).

<sup>20</sup> Johnston (1970: 120).

<sup>21</sup> Johnston (1970: 119).

<sup>22</sup> See Betz (1963).

<sup>23</sup> Johnston (1970: 119).

To interpret the Spirit-Paraclete in John as the divine spirit or power is not unusual. It is how the Spirit-Paraclete comes to be experienced, however, which makes Johnston's theory so distinctive. Johnston asserts that the Spirit-Paraclete becomes embodied in, and experienced through the activity of certain outstanding Christian leaders.<sup>24</sup> "This activity," writes Johnston, "which is itself God's own, becomes visible in a very real way in those 'representatives' or '*paracletes*' who are the Christian prophets, remembrancers, teachers and martyrs."<sup>25</sup> The word "representative" best translates "*παράκλητος*" according to Johnston,<sup>26</sup> for the Christians who carry out the functions associated with the Paraclete, the "spirit of Christ," become representatives of Christ on earth after his glorification. In Johnston's summation, to fulfill the activities of the Paraclete is to become a "paraclete" to others.

...the time of the spirit-paraclete is the age of the Church. In and for the Church some men are chosen witnesses, with authority and therefore spiritual power for their task... *John locates the activity of the spirit within the Church...* For him, apostles and Christians in general are *the visibility of the unseen spirit*. Of course, they are not to be identified with the spirit... Rather, this divine, Christ-like power makes them its instruments.<sup>27</sup>

By appropriating the activities of the Paraclete, the Spirit of Truth, to Christ's representatives, the Evangelist aims to focus the activity of the spirit squarely on Jesus and thereby to combat heretics who give undue authority to angels, and specifically to the angel Michael.

Here Johnston has in view the social background of the Johannine community. He sees the Evangelist's pneumatology as polemical, and therefore grounded in and shaped by concrete experiences in the life of the community. In attempting to get at those experiences, Johnston employs historical-critical methodology. His interpretation of the Paraclete also betrays the influence of a history-of-religions approach. Therefore, Johnston looks for religious-historical categories by which to make sense of certain features of John's pneumatology, for example the use of the titles "Spirit of Truth," and "Paraclete," and then accounts for those historical connections through his exegesis of the text. The problem with Johnston's view of the social situation of John is that it derives from his assumptions about the use of the term "Spirit of Truth." His conclusions about the origins and meaning of the term then inform his views on the social context of the community. If his beliefs about the relevance of the Qumranic use of the term for the Johannine community are wrong, his whole theory falters. Besides, it is likely that understanding the context of John's Gospel is what will allow us to make sense of the

---

<sup>24</sup> Johnston (1970: 119).

<sup>25</sup> Johnston (1970: 16).

<sup>26</sup> Johnston (1970: 120).

<sup>27</sup> Johnston (1970: 38).



particular way "Spirit of Truth" is used in John, since language derives meaning from its context.<sup>28</sup>

Insight into the socio-cultural context of the Johannine community will inform our understanding of the meaning of "Spirit of Truth." One should not begin with assumptions about the meaning of the phrase and then draw conclusions about John's context based on those assumptions. Johnston's conclusions about John's social context end up sounding somewhat arbitrary.

Johnston builds an elaborate theory to explain the mediatorial characteristics of the Paraclete/Spirit of Truth in John's pneumatology. But his theory necessitates some kind of connection between Qumranic angelology and the strategy of the Fourth Evangelist. Why is this necessary when there was a form of mediation prevalent throughout Mediterranean culture, namely brokerage, which could explain those characteristics? To postulate that this culture-based concept of mediation factored into the portrayal of the Paraclete in John seems far less speculative than to draw connections between the Johannine community and a specific situation at Qumran.

Finally, we must question Johnston's theory about how the Paraclete is experienced. Johnston's view that the Paraclete works through individual Christians who serve as the representatives of Christ finds little support in the Paraclete passages. Though the Paraclete/Spirit of Truth is said to abide in the disciples (14:17), to teach them all things (14:26), and to guide them into all truth (16:13), there is no mention of the Paraclete functioning through them in an instrumental kind of way so that they become "paracletes". Furthermore, Johnston believes prophecy constitutes one of the tasks of the "paracletes" of the Church. However, prophets rarely feature in the Gospel of John, allowing very little grounds for assuming that prophets had a valued role among the Johannine Christians. Johnston's theory about the Christian "paracletes" rests on little, if any, substance.

In our study we will demonstrate that the mediatorial function of the Paraclete can be explained in a way which does not require one to read instrumentality into the text. Furthermore, we will show that the Paraclete's characterization as a mediator does not require a remote explanation from the history-of-religions.

3. *Felix Porsch*. In his distinguished study of Johannine pneumatology, *Pneuma und Wort: Ein exegetischer Beitrag zur Pneumatologie des Johannesevangeliums*, Felix Porsch strives to demonstrate the continuity between John's spirit passages outside of the Farewell Discourses, and to synthesize these with the Paraclete passages. Porsch contends the connecting thread running through all of the

<sup>28</sup> See Halliday (1978).



Johannine spirit sayings is the theme of spirit as revelation. As the title of his work suggests, Porsch sees an integral unity between spirit and word in John. Indeed, Porsch views the spirit as coterminous with Jesus words or revelation such that the giving of the spirit by Jesus happens via his spoken word.<sup>29</sup> According to Porsch, 6:63 is pivotal for an understanding of John's pneumatology, and he interprets the passage to mean that Jesus' word is where spirit comes to be encountered and conferred.<sup>30</sup> In the proclaiming of the words given to him by the Father, Jesus confers spirit on those who receive his word. Understandably, Porsch interprets 3:34 to indicate Jesus as giver of the spirit through his words.<sup>31</sup> He also understands Jesus' activity of baptizing in spirit, or making possible spiritual birth, as part of his function as revealer, because it is the rebirth of spirit which enables believers to understand and receive Jesus' revelation.<sup>32</sup>

Porsch finds continuity between the Gospel's portrayal of spirit as revelation and the characterization of the Paraclete. The Paraclete's functions of teaching and reminding are central for Porsch.<sup>33</sup> He accepts the view that the portrayal of the Paraclete as witness has its origins in the synoptic tradition in which the spirit assists disciples in testifying before the courts (Mt 10:17-20; Mk 13:9-11; Lk 12:11-12). He sees this "forensic" characterization of the spirit as an element of the Johannine trial motif which runs throughout the Gospel, and understands "παράκλητος" to be a forensic title. In the trial before the world, Jesus serves as the disciples' advocate, or Paraclete. In the Farewell Discourses, the spirit assumes the role of Paraclete for the time following Jesus' departure.<sup>34</sup> The Spirit-Paraclete will both witness inwardly to believers on behalf of Jesus, and will serve as support for the disciples.<sup>35</sup> According to Porsch, when the Paraclete witnesses on Jesus' behalf he is proffering Jesus' revelation to the disciples, making the Spirit-Paraclete's forensic title and function integrally related to his teaching and reminding, or "revelatory," functions.<sup>36</sup> Porsch's emphasis on revelation as the hermeneutical key to understanding Johannine pneumatology thus allows him to synthesize the pneumatology of the Paraclete passages with that of the Gospel proper. He asserts that the overarching theme of the encounter of spirit in Jesus' word ties together all the spirit passages in John. The gift of spirit that is promised to believers in 7:39 is none other than the Paraclete, and the

<sup>29</sup> Porsch (1974: 200-201).

<sup>30</sup> Porsch (1974: 191f.).

<sup>31</sup> Porsch (1974: 103-105, 200).

<sup>32</sup> Porsch (1974: 96-101).

<sup>33</sup> Porsch (1974: 257f., 299f.).

<sup>34</sup> Porsch (1974: 222-227, 268-275).

<sup>35</sup> Porsch (1974: 269-275).

<sup>36</sup> Porsch (1974: 322-324).

events in 19:34 and 20:21-23 narrate the fulfillment of the Paraclete promises.

Porsch interprets 7:39 to mean that there was no giving of the spirit during Jesus' ministry. During Jesus' ministry belief was consequent upon his signs. Therefore he sees the spirit as active in two stages, first in the spirit's activity in the proclamation/revelation of the earthly Jesus on whom the spirit abode, and second in the conferral of the spirit after Jesus' glorification.<sup>37</sup> The spirit continues to be made available through the proclamation of the church.

Porsch's interest in synthesizing the Johannine spirit sayings seems to drive his exegesis. In fact, the connection between spirit and revelation in John's spirit sayings outside of the Farewell Discourses is tenuous. 6:63 is the only occurrence of a linking of spirit and "word" in these sayings, and it is by no means certain in this verse that the Evangelist intends to somehow equate spirit with Jesus' words. Porsch takes the metaphor too literally, and allows it to color his exegesis of the remaining spirit sayings. Furthermore, in his emphasis on revelation as key, Porsch seems to be guided by existentialist tendencies which may be inappropriate to ascribe to the Evangelist. Finally, Porsch's emphasis on the continuity between the spirit sayings in the Gospel proper and those in the Farewell Discourses seems less tenable in light of the increasingly established view that the Discourses represent a later stage in the Gospel's composition. The Paraclete sayings may have come out of different interests than did the other spirit sayings.

It will be argued below that the Paraclete's emergence in the Farewell Discourses is occasioned by doubts among community members about Jesus' continued efficacy as broker after his departure, and the subsequent reassertion of Jesus' exclusivity as broker in those Discourses. The Paraclete provides a way for Jesus to continue his work as broker among the disciples even after he has returned to the Father.

4. *Gary Burge.* Burge's study of pneumatology in John, entitled *The Anointed Community*,<sup>38</sup> is incontrovertibly one of the most thorough examinations of the spirit in John's Gospel to date. In it Burge gives attention to the relevant scholarship on his subject, as well as to every passage related to spirit in John and 1 John. His consideration of the relationship between the pneumatology of the Gospel and Epistle enhances his work.

According to Burge, the single most prominent and important feature of John's pneumatology is

---

<sup>37</sup> Porsch (1974: 65-81).

<sup>38</sup> Burge (1987).

its inter-relatedness to Christology. This is especially evident in the Paraclete figure. Burge finds the Paraclete in John conceptualized as the very presence of Christ after he has departed, in that Jesus speaks through the Paraclete to the believers.<sup>39</sup> The Paraclete cannot be separated from Jesus, for both his image and work receive definition in relation to Jesus. He is thus a model of Christ in the way that Christ is depicted as the model of God.<sup>40</sup> As Burge explains, this christocentric portrayal of the spirit in the figure of the Paraclete allows Jesus' "glory" to remain preeminent.<sup>41</sup> The Paraclete is the spirit "personalized," and, strikingly, given the personality of Jesus.<sup>42</sup>

The *function* of the spirit in John also evinces the importance of Jesus to its depiction, in Burge's opinion. It is the union with Christ, the indwelling of Christ in the believer which the spirit makes possible, that constitutes the primary function of the spirit.<sup>43</sup>

The climax of the Gospel is the believer's present experience of Jesus. John writes so that the reader may have life and faith (20:31), but more, that through the Spirit both Jesus and the Father might dwell within the disciple in a relationship of love. Therefore within John's present eschatology the Spirit assumes the role of Christ and effects a personal epiphany of Jesus to the believer.<sup>44</sup>

According to Burge, the ability of the spirit to bring believers into union with Christ permits the Fourth Evangelist to appropriate the sphere of heaven to present experience (14:13). Burge does not assert the second coming is no longer an expectation in John, but he contends that in many ways the experience of the second coming is depicted as a present reality for believers.<sup>45</sup>

Burge's study offers much thorough and helpful exegesis, yet in his discussion of the function of the spirit certain elements are lacking. He fails really to address the issue of how the Johannine community experiences the indwelling, or "union with Christ," which he asserts is central to their notion of spirit. When he attempts to address the issue, he turns to a discussion of the sacraments. But as his conclusion about the importance of the sacraments to the Johannine community suggests, the sacraments can hardly be the key. Although the Evangelist views the sacraments as valued "material expressions" of the vital reality of Christ's indwelling,<sup>46</sup> they are regarded as nothing more. Burge interprets the sacramental references in John as contesting a mechanistic, instrumental sacramentality

---

<sup>39</sup> Burge (1987: 41).

<sup>40</sup> Burge (1987: 141). For Burge's diagram of parallels between the descriptions of the Paraclete and Jesus in John, see our Chapter Four, §2.1..

<sup>41</sup> Burge (1987: 203).

<sup>42</sup> Burge (1987: 142).

<sup>43</sup> Burge (1987: 188-189).

<sup>44</sup> Burge (1987: 147).

<sup>45</sup> Burge (1987: 149).

<sup>46</sup> Burge (1987: 155).

that allows rituals to usurp the place of the actual, pneumatic experience of Christ.<sup>47</sup> All in all, his study lacks a decisive verdict on how the Johannine community believed the pneumatic experience of Christ to be effected. We wonder: how did the Johannine community picture this indwelling of Christ in their lives? What did it do for/in them? How were their lives thought to be different because of the spirit?

Burge likewise does not give adequate attention to why the group might have begun to emphasize “union with Christ” in the first place. He does propose a theory as to the development of the Paraclete, but it does not account for the uniqueness and intensity of the purported Johannine emphasis on the indwelling of Christ. Burge highlights the role of the Paraclete in enabling believers to witness on behalf of Jesus. Burge places much emphasis on this characterization of the spirit which he deems “forensic”, and claims it best accounts for the introduction of the noun ὁ παράκλητος in John, since he believes the noun has a forensic meaning in the Greek.<sup>48</sup> He asserts that the Paraclete figure was inspired by the Synoptic tradition in which the spirit is portrayed as giving believers the words they need to testify in times of persecution.<sup>49</sup> This forensic function of the spirit impacted upon the Fourth Evangelist who developed the idea further in his own Gospel. In John, the forensic function expands to that of a revelatory function. Instead of speaking through the believers, the Paraclete is said to act as witness and revealer, but to clarify how this is accomplished, Burge explains that 15:26-27 means the spirit witnesses and reveals through the community’s witness and preaching.<sup>50</sup>

The assertion of Burge that the Paraclete derived from the Synoptic forensic depiction of the spirit is about as close as Burge comes to addressing the development of John’s pneumatology. He does not, though, explore *why* the Evangelist would have taken up a forensic characterization of the spirit or why he would have recast it in more revelatory terms. Maybe due to the integral association of the Paraclete and Christ in John we are to assume that if the Paraclete is portrayed as speaking through the believers, and he speaks the words of Jesus, then it is actually Jesus speaking through the believers. Perhaps this is how believers experience Christ’s indwelling through the spirit. Perhaps we are then to conclude that the indwelling of Christ in the believer is the central function of spirit because it enables them to witness and preach. Do the paucity of references to witnessing in connection with the spirit allow such an interpretation, however? Burge offers a discussion of the *ideas* of John without a

---

<sup>47</sup> Burge (1987: 177-178, 188-189).

<sup>48</sup> Burge (1987: 6f., 205-208).

<sup>49</sup> Burge (1987: 208).

<sup>50</sup> Burge (1987: 208).

clear discussion of the unique context in which they germinated and in which they functioned meaningfully for the author and audience. As indicated above, a discussion of ideas severed from their context can lead to many unanswered questions.

At points in Burge's description, John's pneumatology seems to hover on a higher plane. Burge describes it in very rosy terms, frequently using the term "pneumatic."<sup>51</sup> He writes:

If we can be certain about anything in the Johannine community, we can be assured that it stirred with spiritual vitality and strength. Above all, these were Christians who knew they had been transformed by the Spirit... united with Christ in Spirit... and fully enabled to worship in power... They had been anointed with the Spirit... and this mark had become their strength and distinctive.<sup>52</sup>

It is certainly conceivable that the Johannine Christians defined themselves by their unity with Christ through the spirit. But should this notion be attributed to "spiritual vitality" or could there be pragmatic reasons behind an emphasis on the "pneumatic" element in Christian experience? Moreover one wonders to what degree Burge's characterization of the Johannine community as "anointed with the Spirit" depends on his interpretation of the term "anointing" (χρῖσμα) in 1 John 2? Is it methodologically sound to characterize the Johannine Community in general using a term from 1 John which is not found in the Gospel? And what exactly does the "anointing" mean? Burge seems to interpret the "anointing" variously, sometimes as a "mark," which has a connotation of legitimation, and sometimes as an indwelling, which has a connotation of possession. Note the mixture of these themes in the following: "...the Fourth Evangelist gave special attention to this concept [ie "anointing"] particularly in his account of Jesus' baptism as well as in 3:34 and 6:27. ... In effect, the Spirit is the mark of Christ and should be the mark of the Christian as well. In [1 John 2:20, 27] this anointing forms a part of the overall picture of possession of the Spirit (3:24; 4:13) and divine birth (2:29; 3:9; etc.), and it certainly refers to the messianic anointing promised in the Gospel. ...this anointing dwells within the believer."<sup>53</sup> Overall, Burge's explanation of the nature of pneumatic experience in the Johannine community is unclear, and his phraseology confusing. He notes the importance of Christ to the Johannine conception of spirit but does not place enough emphasis on the mediatorial role of the Paraclete in providing believers with a link to Christ. In this he has not adequately appreciated a crucial element in John's pneumatology. It becomes difficult to conceptualize and understand the inter-relatedness of the Spirit-Paraclete and Jesus in John without understanding

---

<sup>51</sup> For example, Burge (1987: 173, 177).

<sup>52</sup> Burge (1987: 197).

<sup>53</sup> Burge (1987: 175).

the centrality of mediation to their relationship.

We fully agree with Burge's conclusion that in John spirit figures prominently in Jesus' identity. The identity and authority of Jesus are signaled by the spirit's descent, and this "authentication" of the spirit to which Jesus refers in 6:27 serves as his "seal," according to Burge.<sup>54</sup> Similarly, Burge claims that the "anointing" characterizing the community in 1 John 2:20, 27, which he identifies with spirit, is their authorization.<sup>55</sup> This continuity between the depictions of Jesus in John and that of the community behind 1 John as proprietors of spirit would seem to be suggestive, yet Burge does not draw out the implications of this purported connection. Such a connection would raise the following questions: what caused the 1 John community to place such a stress upon spirit? Why do they need to assert that they have unique access to spirit just as Jesus had? Unfortunately, Burge does not offer a substantial answer to the questions he raises. Ultimately, his study is descriptive, and not explanatory.

The following study will challenge Burge's view that John's pneumatology originated in the Synoptic forensic-spirit concept. Furthermore, it will show that the function of the spirit in John is not aimed at facilitating pneumatic worship or charismatic vitality, nor is it aimed at making possible a mystical-type "indwelling" of Christ. Rather the spirit opens up the possibility of receiving the benefits of God's patronage, most notably eternal life. The spirit *does* legitimate Jesus and the believer, and our study will explicate the nature of this legitimation and why it is important. Finally, in Chapter Four we will explain the inter-relationship of Jesus and the Paraclete in a way which does not require pneumatology to become subsumed in Christology, as it does in Burge's study.

---

<sup>54</sup> Burge (1987: 84-85).

<sup>55</sup> Burge (1987: 174-175).



## Chapter Three

### Spirit in the Gospel of John

#### 1. Exegesis of the Spirit Passages in John

1.1. *The spirit descends upon Jesus (1:31-34); Jesus gives spirit (19:30-34; 20:22-23).*

1.1.1. John 1:31-34. The spirit is given mention in John in the very first narrative of the Gospel, in the story about John. In traditional fashion, the Fourth Gospel opens Jesus' ministry with John. Each of the Synoptics do so as well (Mt 3:1-17; Mk 1:1-11; Lk 3:1-22), and clearly a traditional story similar to the synoptic tradition underlies the Fourth Gospel's account of the meeting between Jesus and John at the Jordan.<sup>1</sup> A reference to the spirit appears in all four gospels. Still, the Fourth Evangelist has developed and adapted the tradition about John to suit his unique purposes, as have the other evangelists, and his treatment of the spirit is no exception.

Because the author of John apparently had in mind an independent tradition similar to that of the Synoptics when he composed his narrative,<sup>2</sup> his emphases, adaptations, and additions to this underlying tradition reveal to us something of his intentions. Some of the unique features in the Johannine account are: 1) the interrogation of John by those sent from the Ἰουδαῖοι, 2) the outright denial of any identification of John with Elijah or any other eschatological figure, 3) the adaptation of John's character from that of an eschatological preacher of judgment and repentance to that of a witness, 4) the absence of any mention of Jesus' being baptized by John,<sup>3</sup> 5) the absence of the epithet "the Baptist" for John, 6) the fact that John, rather than just Jesus (Mt and Mk), sees the spirit's descent, 7) the fact that John, rather than a voice from heaven, testifies to Jesus, 8) the stress on the spirit as a sign to John of Jesus' identity, and 9) the way the spirit does not just descend upon Jesus, but "remains" (ἔμεινεν) on him. Because the spirit references are vital to the reworking of the account of John in the Fourth Gospel, we will look at the whole account in our effort to understand the role of the spirit in 1:32-33.

<sup>1</sup> The similarities between John's account and the Synoptics do not, however, imply John's dependence on any of them. On some points John agrees most closely with Mark, on others with Matthew and Luke. The similarities between all four gospels include: 1) the use of Isa 40:3 to explain the role of John, 2) John's comment that he is unworthy to untie Jesus' sandal, 3) the descent of the spirit upon Jesus like a dove, and 4) John's prophecy that Jesus will baptize with holy spirit.

<sup>2</sup> Brown (1966/70, v.1: 66).

<sup>3</sup> However, in Luke Jesus is also not said to have been baptized by John, though it is said he was baptized (Lk 3:21).

Scholars often note that the Fourth Gospel portrayal of John is highly tendentious; some even deem it polemical.<sup>4</sup> The Fourth Evangelist deliberately limits the role of John. He is merely a “voice” or a witness, and the portrayal of John evinces an emphatic contrasting between Jesus and John, by which Jesus is shown to be far superior. This has led these scholars to speculate that in his depiction of John the Evangelist addresses disciples of John who have elevated him above Jesus, perhaps claiming John was actually the Messiah, or Elijah. When he introduces John in the Prologue, the Evangelist emphasizes that while John was not the light, Jesus was the *true* light (1:8-9).<sup>5</sup> This kind of stark contrast pervades the Fourth Gospel narratives about John. In 1:15 John cries: “He who comes after me ranks ahead of me because he was before me,” a statement echoed in v. 30. And when a conversation about Jesus arises between John and his disciples in 3:25-30, John emphatically denies being the Messiah, stating that the Messiah (Jesus) comes after him, and that “He must increase, but I must decrease” (v.30). The characterization of John in the Gospel’s first narrative must be viewed in conjunction with these other references to him (see also 10:41). Whether or not it is warranted to speculate about a “Baptist sect,” the Evangelist makes fairly explicit in the text that he does not allow for any competition between Jesus and John.

But the portrayal of John in the Fourth Gospel is by no means negative. John is “sent from God” (1:6), a significant designation in the Gospel and one used repeatedly to depict Jesus as the envoy of God, and John is sent in order that Jesus might be revealed to Israel (1:31). As one commentator notes, this is “no mean task for a man to perform.”<sup>6</sup> John witnesses on Jesus’ behalf, a mission he shares with many characters in the Gospel.<sup>7</sup> However, John’s testimony seems especially important despite the Gospel’s many witnesses, for it allows Jesus’ identity to be made manifest to Israel. Of special interest to us is the key role the spirit plays in enabling John to complete his mission. It is interesting that John’s testimony features so prominently in the Fourth Gospel and he even receives the designation as one “sent from God,” yet any identification of John with an eschatological figure is expressly denied. What motivates these limits? We will address this question shortly.

The account of John in the Fourth Gospel appropriately begins with “This is the testimony given by John” (1:19a). The Ἰουδαῖοι send “priests and Levites” to question John about his baptizing,

<sup>4</sup> See Wink (1968), Lindars (1972), de Jonge (1977), Barrett (1978), and Brown (1979).

<sup>5</sup> The Greek word used for “true” in 1:9, ἀληθινόν, means genuine as opposed to unauthentic, rather than true as opposed to false (Witherington 1995: 64).

<sup>6</sup> Morris (1972: 151).

<sup>7</sup> For example, the Samaritan woman (4:39), the works of Jesus (5:36; 10:25), the Father (5:32, 37; 8:18), the Old Testament (5:39-40), the crowd in 12:17, and the spirit and the disciples (15:26-27).

which provides John an opportunity to testify. Here begins the “trial motif” that will feature in the story of Jesus as told by the Fourth Evangelist.<sup>8</sup> In John, “the world,” often represented by the Ἰουδαῖοι,<sup>9</sup> places Jesus on trial and throughout the Gospel several characters are put on the stand, either to confess or deny Jesus. The ironic scheme of the Gospel demands that while the Ἰουδαῖοι act as judge throughout the Fourth Gospel, they actually stand condemned.<sup>10</sup> They are judged by their wrong judgment of Jesus.<sup>11</sup> The priests and the Levites<sup>12</sup> represent the interests of the Ἰουδαῖοι in our passage, and we take the inquisitors mentioned in v.24 as related to this group, since this is the plainest meaning of the text, despite the supposed difficulties caused by the idea of priests and Levites being “ἐκ τῶν φαρισαίων.” In fact, many priests and Levites belonged to the Pharisaic party.<sup>13</sup> Whatever their specific designations may be, leading Ἰουδαῖοι desire to know more about John, who he is and why he is baptizing, hence they send clients/brokers to question John. When asked “Who are you?” John addresses the issue at the heart of their question. He answers pointedly “I am not the Messiah,” and the Evangelist highlights his answer by writing “He confessed and did not deny it, but confessed...” (1:20). The brokers of the Ἰουδαῖοι then inquire: “Are you Elijah... are you the prophet?” John answers both questions negatively, and tells them he is “the voice of one crying out in the wilderness” (1:23a).

Apparently the Evangelist does not consider John a threat to Jesus as “the voice,” or the witness, for this is how he allows John to be characterized. And as we have seen, he also permits John to be described as one “sent from God.” But when it comes to the eschatological figures of the Messiah, Elijah, or the prophet the Evangelist punctiliously draws the line. Why is this? First of all, as a witness to Jesus, John’s work is strictly limited to disclosing the identity of Jesus. He does not offer any benefits other than this knowledge. Even as a broker sent from God John does not offer benefits from God, only an authoritative witness to the other broker who will come after him, who will indeed impart benefits from God. So as a witness and broker John does not compete with Jesus’ role as broker. On the other hand, if John was seen as the Messiah he would be in direct competition with Jesus, for the

<sup>8</sup> See Harvey (1976), Ashton (1991: 220-232), Lincoln (1994), and on the trial motif in John. Neyrey (1996) provides a detailed form-critical analysis of John 7 as a forensic scene.

<sup>9</sup> Ashton (1991: 136).

<sup>10</sup> Though at the end of Jesus’ trial in the passion account the verdict is passed and Jesus is found guilty, on a deeper level the verdict is passed against the world and the “ruler of the world” is cast out (12:31-32).

<sup>11</sup> Neyrey (1996: 111).

<sup>12</sup> John 1:19 constitutes the only usage of the phrase “priests and Levites” in the New Testament, though it was used commonly in the Old Testament. Why the Fourth Evangelist employs the phrase here we cannot know, though it could be he thought it an apt term for representing Israelite religious officials and especially those Israelite officials who would take special interest in a figure like John. Also, it could be that the account of such a delegation coming to John issues from a historical tradition unknown to the Synoptics but underlying John’s account.

<sup>13</sup> Lindars (1972: 105).

Messiah was to be mediator of God's kingdom. Similarly "the prophet," who is ostensibly meant to be the expected prophet like Moses presaged in Deut 18:15-22, was to lead the people according to God's commands, speaking directly from God. It is therefore clear why the Evangelist thought the "prophet" to be a competitor. Both the Messiah and the prophet act as direct brokers to God. Still, why was Elijah a threat? According to Matthew 17:10-13 "the scribes" expected Elijah to "come first," presumably before the new age would dawn (see also Mal 4:5), but there we find nothing to suggest that as a forerunner Elijah would compete with Jesus as broker. Furthermore, while the Messiah and the prophet gain mention in John as expected eschatological figures associated with Jesus (6:14; 7:40-41), Elijah is only mentioned in chapter one in connection with John. Why is the Fourth Evangelist adamant about denying an identification of John with Elijah when that identification clearly does not daunt the First Evangelist (Mt 11:14)?

Evidence from the mid-second century C. E. provides a possible explanation for the Fourth Evangelist's concern over Elijah and John. As Marinus de Jonge<sup>14</sup> has pointed out, Justin's *Dialogus cum Tryphone* provides evidence of an Israelite belief, apparently shared by some Christians during Justin's time, that Elijah would precede the Messiah and reveal to him his identity. According to this view, the Messiah would be born a mere "man of man" (*Dial* 49.1) and would not know his identity as the Messiah or have power until Elijah had anointed him and revealed to him all that he was to do.<sup>15</sup> Perhaps the Fourth Evangelist's treatment of John presupposes a similar belief. There are, no doubt, problems with using second century viewpoints to explain ideas in the Fourth Gospel.<sup>16</sup> However, the close association of Elijah with the Messiah and the prophet in John and the concern of the Evangelist to distance John from all three, suggests he thought Elijah to have some sort of eschatological significance placing him in competition with Jesus just as the Messiah and the prophet. The fact there existed in the mid-second century a belief about Elijah which would definitely have compromised the supremacy of the one coming after him, shows Elijah was not merely conceptualized as a forerunner figure. Since a picture of Elijah as one in competition with Jesus seems to lie behind the Johannine portrayal of John, it is not fantastic to assume some sort of connection between the Elijah beliefs described by Justin and those which the Fourth Gospel presupposes.

A view of Elijah like that in Justin's *Dialogus* would certainly have motivated the Fourth

---

<sup>14</sup> de Jonge (1977: 88-90).

<sup>15</sup> de Jonge (1977: 88-89).

<sup>16</sup> Though de Jonge (1977: 89-90) does argue persuasively that Justin's account does not betray the influence of the Gospel of John.

Evangelist to distance John from Elijah. According to that view, Elijah was not only a heavenly mediator who would be sent to identify the Messiah, he would bring heavenly knowledge about the Messiah's identity which the Messiah himself would not even know, since he would be merely a "man of man." Additionally, Elijah's anointing would empower the Messiah to do all that he was to do (*Dial* 49.1). A depiction of John as this kind of Elijah had no place within the Evangelist's thinking. He repeatedly stresses that Jesus is not a mere man, but is ἀνωθεν [from above], and ἐκ τοῦ θεοῦ [of God] (3:31; 8:23, 42; 16:28; 18:36).<sup>17</sup> In the Fourth Gospel, Jesus knows his mission and needs no one to reveal it to him, for he does solely what the Father directs him to do. Interestingly, John never identifies Jesus as "Messiah" in John, but instead as the "Son of God" and "Lamb of God." According to the view of Elijah in Justin's *Dialogus*, Elijah acts as a direct broker to God, brokering divine knowledge to the Messiah. It is understandable why the Evangelist would have viewed this sort of Elijah figure as competing with Jesus' role as broker and why he might have avoided having John identify Jesus as the Messiah.

In the Evangelist's eagerness to deny any identification of John with the Messiah, or Elijah, or the prophet, we begin to see him dealing with the difficulty of other potential brokers of God. This theme surfaces repeatedly in the Gospel, for example in the Evangelist's treatment of Moses. Moses' role as direct broker to God is denied, but as with John, the Evangelist allows Moses a place of importance. Like John, Moses, in the scriptures, testifies to Jesus (5:39-47; cf.12:41). Moses also, then, brokers access to the knowledge of Jesus. It seems, then, there exists a category of brokerage which is acceptable for figures other than Jesus in the Gospel, though it is strictly limited. More pointedly, the brokerage of people other than Jesus is permitted and effective only in so far as it supplies access to Jesus. The Evangelist stresses the fact that *only* Jesus provides access to the benefits of *God's* patronage (14:6). Other brokers in the Gospel are strictly brokers to Jesus, not brokers to God. This is an important distinction for us to make, and it aligns well with our model of brokerage. According to our model, many brokers can be involved in any given transaction. Though only one broker ultimately allows access to the benefits of the patron (the criteria of exclusivity), another broker (or other brokers) can supply a client with access to the broker who has ultimate access to the patron. This kind of "network of brokers" dominates in patronage societies.<sup>18</sup> So John *is*, in a sense, sent from God as a broker. He brokers access to Jesus by revealing him to Israel. However, his brokerage is entirely contingent upon Jesus'

---

<sup>17</sup> de Jonge (1977: 89).

<sup>18</sup> See Kenny's (1960) model of the "pyramid" of patronage, as well as Boissevain (1966) and Davis (1977: 139).



brokerage relationship with God. Because, in John, Jesus is the exclusive broker to God, it becomes a bit confusing to speak of other characters as brokers. Consequently, we will from this point on refer to such “subordinate brokers” as John and Moses using the term “subordinate broker.” On that note we return to the narrative.

John’s answer to the brokers of the Pharisees that he is neither the Messiah, or Elijah, or the prophet leaves John’s inquisitors perplexed. They ask: why then would he be baptizing? This question probably does not mean that baptizing was an eschatological act which needed to be associated with an eschatological figure.<sup>19</sup> Though baptism was indeed eschatological, since it was done to prepare people for the coming of the new age, it was not carried out solely by “eschatological figures.” The issue addressed seems to be that John was baptizing fellow Israelites and the brokers of the Pharisees wanted to know what gave him the authority to do so. Baptism implied purification, and usually that of non-Israelites when they became proselytes of the Israelite religion.<sup>20</sup> Furthermore sometimes people baptized themselves.<sup>21</sup> Why did John presume to have the authority to baptize other Israelites? John answers his interlocutors rather circuitously. He tells them he baptizes with water, but another is coming after him who is far greater than he. And he implies that while he will recognize this “one coming after him,” they do not know him (1:26).

The whole exchange between John and the brokers of the Ἰουδαῖοι constitutes an honor challenge, depicted as an example of Mediterranean “challenge and response.”<sup>22</sup> The questioners challenge John’s honor status. Though John does not claim to be any of the eschatological figures they mention, he does make an honor claim in asserting to be the voice in the wilderness foretold by Isaiah. He also challenges the honor of the brokers by implying he knows of “the coming one,” a designation for the Messiah, whom they “do not know.” Considering the importance of “knowing” in our gospel, this is an acerbic response (compare 7:28; 8:14, 19, 55; 10:14-15; 15:21; 16:13; 17:3).<sup>23</sup> John’s counter challenge manages to win the match for John and the brokers of the Ἰουδαῖοι disappear without a word, a sure sign of defeat.

<sup>19</sup> As was the view of Bultmann (1971: 88).

<sup>20</sup> Carson (1991: 145) and Morris (1972: 140).

<sup>21</sup> CD X, 12-13. The Mishnah also suggests that people baptized themselves (*Mikwaot* VII, 1).

<sup>22</sup> “Challenge-and-response” is an honor contest between non-kin which figures prominently in the daily lives of people in Mediterranean culture, particularly men. It constitutes a sort of “social tug of war” consisting of at least three phases: 1) the issuing of a public challenge (word, deed, or both) by one party, 2) the perception of that challenge by the receiving individual as well as the public, and 3) the reaction of the receiving individual, along with the evaluation of that reaction by the public (Malina [1998: 147-148]). The honor contest of challenge and response is a zero-sum game in which the challenger aims to increase his or her honor by robbing another individual of honor.

<sup>23</sup> Neyrey (1996: 113).



The Evangelist portrays John as a subordinate broker sent from God so that Jesus' identity could be revealed to Israel. In our passage, John acts as Jesus' subordinate broker in defending and testifying to him, representing him to the brokers of the Ἰουδαῖοι. It is fascinating, then, that the Gospel of John begins with this skirmish between brokers of the Ἰουδαῖοι and a subordinate broker of Jesus, since Jesus and the Ἰουδαῖοι are the two main opponents throughout the Gospel. While the central characters await their cues, their brokers are on stage vying for their honor, and Jesus' wins. Not only does John defend his own honor, but he honors Jesus in the process by elevating Jesus' status above his own. John says the one coming after him is so much greater than he that he does not even deserve to be the man's slave (1:27).<sup>24</sup>

On the day following his interrogation, John sees Jesus coming toward him and declares "Here is the Lamb of God who takes away the sin of the world!" (1:29). Oddly, the title "Lamb of God" is not used in any other Gospel narrative. That the Evangelist twice attributes it to John in this account (see 1:36), along with the fact he does not repeat it elsewhere, suggests to us the title reflects traditional material about John which the Evangelist preserved despite his apparent detachment from it.<sup>25</sup> Yet even if the title "Lamb of God" is not a popular one in the Gospel, the Evangelist has employed the traditional title to undergird his theme of Jesus as a sacrifice regardless of what the saying originally meant on the lips of John.<sup>26</sup> The confession "the Lamb of God who takes away the sin of the world" "fits" within the Gospel, for throughout the Gospel one finds allusions to Jesus' sacrifice in death. In a passage where Jesus seems to make repeated references to his death,<sup>27</sup> he talks about giving his flesh for the life of the world (6:51). In chapter ten, though Jesus describes himself as a shepherd rather

<sup>24</sup> Untying a person's sandals was slave's work. Though pupils were expected to perform many "chores" for their masters, they were prohibited from untying his sandals because it was so lowly a task (Beasley-Murray [1987] cites Rabbi Jehoshua b. Levi in *Keth. 96a, Str-B 1:121*).

<sup>25</sup> Brown argues persuasively for the historicity of the saying in 1960 (pp.295-297, v.1) and 1966/70, v.1 (pp.58-63). But some commentators find it hard to imagine that John, whom the Synoptics portray as a "hell, fire, and brimstone" preacher, and who in Mt 11:2-6 and Lk 7:18-23 appears unable to reconcile Jesus' ministry of healing and teaching with his own preconceptions of the Messiah, would conceive of Jesus as a docile sacrificial lamb. But this difficulty stems from the interpretation of John's "Lamb of God" merely as a humble lamb of sacrifice, a prominent interpretation. Other scholars have found it conceivable that "Lamb of God" is meant in the sense of the conquering lamb found in apocalyptic passages, such as *Testament of Joseph 19:8* and *1 Enoch 90:38*, and used in Revelation. Perhaps the phrase "who takes away the sin of the world" was later added to an apocalyptic title used by John, "Lamb of God." By the time Revelation was composed, Christians had already begun to reinterpret the mighty, destructive lamb of apocalyptic literature as a lamb who conquers through sacrificial death. On the other hand, non-apocalyptic interpretations of "Lamb of God" are many. The lamb can be either understood along the lines of the "suffering servant" lamb of Isa 53 or as a paschal lamb. Those who understand "Lamb of God" in terms of Isa 53 include Lindars (1972) and Schnackenburg (1980/82, v.1). Scholars who see it primarily as a paschal lamb are Grassi (1987: 27-28) and Grayston (1990). Brown (1966/70, v.1), Blank (1981: 131-134), and Schulz (1983: 38) believe the Evangelist has in view both the Isa 53 lamb and the paschal lamb. Bultmann (1971) and Morris (1972) see the term "Lamb of God" as an integration of several motifs.

<sup>26</sup> D. Brent Sandy (1991) argues cogently that the title "Lamb of God" likely did not refer to Jesus' sacrifice in death when it was spoken by the Baptist. However, the post-Easter perspective of the Fourth Evangelist compelled him to understand the title as a reference to Jesus as a sacrifice for sin (pp. 457-459).

<sup>27</sup> See de Boer (1996: 222-236).

than a “lamb,” he portends that he will lay his life down for others. Caiphās unwittingly echoes this prediction in 11:50, as the Evangelist explains (11:51-52). Moreover, the chronological alignment of the crucifixion with the slaughtering of the paschal lambs,<sup>28</sup> the appearance of the hyssop branch in the passion narrative,<sup>29</sup> and the use of Ex 12:46 and Num 9:12 in 19:36, “None of his bones shall be broken,”<sup>30</sup> all manage to depict Jesus as the perfect Passover lamb.<sup>31</sup> Finally it is important to note the key role the chief priests and high priest, whose primary function was to offer sacrifices to God in the temple, play in orchestrating Jesus’ death in John (18:3, 13, 15, 16, 19, 22, 24, 35; 19:6, 15, 21).<sup>32</sup> In light of all the aforementioned passages, the most likely meaning of John’s confession in the Fourth Gospel centers on the cross and Jesus’ sacrifice in death.<sup>33</sup> Even though the Passover sacrifice was formerly not viewed as a sacrifice for sin, by Jesus’ time the lambs slain at the Exodus from Egypt were apparently associated with removal of sin.<sup>34</sup>

Hence, the narrative about John in the first chapter of the Fourth Gospel sets the stage for the climax of the Gospel in John 19-20. The cross is signaled right from the start of the Fourth Gospel, as well as throughout it, by the allusions to Jesus as a sacrifice.<sup>35</sup> Furthermore, from the confession of Jesus as the “Lamb of God who takes away the sin of the world” to the portrayal of Jesus’ death as exaltation, the cross appears honorific. In 1:29, when John calls Jesus the “Lamb of God,” the sacrifice of Jesus on the cross seems to be that which procures for believers freedom from sin and death. It removes the condition of sin which stands between God and humanity and thus makes it possible for humanity to receive the benefits of God’s patronage. So part of Jesus’ mission as broker involves removing the barrier of sin which blocks the outpouring of benefits from God, a task the brokers in

<sup>28</sup> The Fourth Evangelist points out that Jesus was condemned to be crucified at the sixth hour (19:14) on the Day of Preparation for the Passover, the time at which the sacrificial lambs began to be slaughtered in the Temple, and that he died on that day (19:31) (Koester [1995: 196-197]).

<sup>29</sup> The leafy branches of the hyssop plant were used to spread lamb’s blood over the doorposts of the Hebrew people before their flight from Egypt (Ex 12:21-22). Because hyssop is short and flexible, it would have been an unlikely choice for the purpose described in Jn 19:29, lifting up a soaked sponge. Its purpose in the narrative is probably to conjure up images of the Passover in the reader’s mind.

<sup>30</sup> Shattering the bones of a Passover lamb made it unacceptable for sacrifice (Koester [1995: 197]). See also Longenecker (1995: 432).

<sup>31</sup> For these reasons we find the “paschal lamb” interpretation of John 1:29 more convincing than the less-popular interpretation that the “Lamb of God” title alludes to the “aqedah” (binding) of Isaac, a view forwarded by Vermes (1961: 224f.).

<sup>32</sup> Malina and Rohrbaugh (1998: 274).

<sup>33</sup> Schulz (1983: 38-39). Sacrifice can have various meanings; it does not necessitate an expiatory understanding of the atonement. For a full discussion of the meaning of Jesus’ death in John see Nicholson (1983), Loader (1989), Ashton (1991: 443-514), and de Boer (1996).

<sup>34</sup> Brown (1966/70, v.1: 62) and Bultmann (1971: 96, n.4).

<sup>35</sup> See Grigsby (1982). Though, as Loader (1989: 94-102) argues, the theme of Jesus’ death as sacrifice is not the central theme of the Gospel’s Christology. Loader contends the sacrifice motifs in John are traditional motifs known and used by the author, and with this we agree. Still we believe he is too dismissive of the evidence for a reoccurrence of the theme throughout John and he subordinates the theme of sacrifice more than these references justify.

Israel's past have been unable to do. Effecting removal of sin is not Jesus' primary task in John, as the paucity of references to this function makes clear, but it is *integral* to his work as broker to God. Those who accept Jesus as the one sent from God are spared "condemnation" for sin or rejection as clients (3:16-18; 8: 23-24; 5:24-29). In other words, they have recognized Jesus as the true broker of God and submitted to him and can thus enter into a loving, patronal relationship with God the Father.

But what does the "sin of the world" mean in John, and how does Jesus procure its removal? In John, sin denotes unbelief, or the active disloyalty toward and rejection of Jesus as sole broker to God, and thus rejection of God's patronage (3:36; 8:23-24; 15:22-24; 16:8-9).<sup>36</sup> Sin is not generally characterized as wrong actions or impurity in the Fourth Gospel.<sup>37</sup> According to our Evangelist all sin is subsumed under the one wrong action of disloyalty toward God the patron. This partially accounts for the scarcity of ethics in John. Since in this gospel sin is not characterized as impurity or ethical misbehavior which must be rectified, Jesus' sacrifice is not conceived of as expiation in the sense of taking on the misdeeds of the world and extirpating the guilt associated with them. Still, disloyalty toward God, or the breaking of a patron-client "contract" with God can, of course, involve impurity and ethical misbehavior. But the wrong actions themselves are not the focus in John,<sup>38</sup> rather the disloyalty of which the wrong actions are merely a symptom. Nathan's speech to David in 2 Samuel 12: 7-9 exhibits how ethical misbehavior can be seen as symptomatic of disloyalty to the patron God or as a "breach of contract":

...Thus says the Lord, the God of Israel: I anointed you king over Israel, and gave you your master's house, and your master's wives into your bosom, and gave you the house of Israel and of Judah; and if that had been too little, I would have added as much more. Why have you despised the word of the Lord, to do what is evil in his sight? You have struck down Uriah the Hittite with the sword, and have taken his wife to be your wife, and have killed him with the sword of the Ammonites.

The speech focuses not so much on the culpability of David's actions as on his blatant disrespect of and disloyalty to God in light of all the benefits God had conferred to him.<sup>39</sup>

Exactly how the Evangelist envisages Jesus "taking away the sin of the world" and removing the barrier to God's patronage through his death presents a complex issue in John and we cannot propose

<sup>36</sup> Bultmann (1965: 169, 1971: 551, 563), Brown (1966/70, v.2: 712), Schnackenburg (1980/82, v.2: 197), Haenchen (1984: 139, 143), and Segovia (1991: 191).

<sup>37</sup> Bultmann (1971: 551, 563).

<sup>38</sup> In 3:20, "For all who do evil hate the light and do not come to the light, so that their deeds may not be exposed," the focus is on "evil deeds," though the intent of the passage is more one of "labeling," than one of pointing out what actions constitute "evil deeds." The point is a general one: those who do not "come to the light," in other words to Jesus, are evil and do evil. Their evil condition serves as an explanation for their rejection of Jesus.

<sup>39</sup> See also the words of God to Solomon in 1 Kings 9:3-9 and Jeroboam in 1 Kings 14: 7-10, where the focus seems to be the same.

to offer a complete explanation of John's soteriology.<sup>40</sup> The topic will, however, surface again in our study, and so we offer a summary of it at this point: In John, the broker Jesus reveals God to the world; he makes God known (1:18; 3:34; 8:26, 38, 40; 14:7; 15:15; 17:3).<sup>41</sup> By believing in, or accepting, Jesus one expresses loyalty to God and acceptance of God's patronage, and is thus spared rejection as a client (3:16-18, 36; 5:24-29; 6:40, 47; 8: 23-24, 51; 10: 9, 28; 11: 25-26; 17: 2-3).<sup>42</sup> Those who reject Jesus the broker reject God, and thereby decide their own fate. Unbelievers are judged by their own unbelief (3:18, 36; 12:48).<sup>43</sup> In John, Jesus takes away the sin of the world through his mission of coming into the world, revealing God to humanity, and making God's patronage available to those who choose to accept him as God's true broker, thus allowing them the possibility of eternal life, the ultimate benefit of God's patronage (3:16; 15:22-24). Jesus' death represents a crucial part of his life of revelation, perhaps even its climax, for it reveals Jesus' posture of love and obedience to the Father (8:28; 12:27; 14:31; 18:11) and thus ratifies his claims to be God's Son, and thus the ultimate broker to the Father.<sup>44</sup>

It is also through Jesus' death that the "ruler of the world" is "cast out" (12:31-32; 14:30). Loader asserts that the best way of understanding this "casting out" is as "exposure," since the evil one apparently will not be "driven out" in the literal sense. The ruler of the world continues to exercise jurisdiction within the world after Jesus' return to the Father (17:15; see also 1 Jn 5:19). But in Jesus' death, "the world" and its ruler are *exposed* as those who have rejected and killed God's revealer and broker, so that those "drawn by the Father" can recognize the world's guilt and choose not to conform to the world in its rejection of Jesus and its allegiance to false brokers.<sup>45</sup> Because of his death, sin (ie unbelief and rejection of God) no longer constitutes the sole alternative in sight for humanity, since those who were once "blind" can now see (9:39). Jesus' mission as revealer thus has two sides. Jesus reveals or exposes both the Father, and the ruler of the world.<sup>46</sup> As Loader explains:

Jesus' death... represents the climax of the Son's fulfillment of his task. As an event pitting claim against claim, it brings to a climax the issues of Jesus' life: the world rejects the Son and thereby exposes itself as sinful and its ruler for what he is. At the

<sup>40</sup> For a good treatment of this aspect of John's theology, see Ashton (1991) and Loader (1989).

<sup>41</sup> Loader (1989: 76-92) views this as the central act of Jesus, according to the Christology of John.

<sup>42</sup> Schnackenburg (1980/82, v.1: 560-561) explains belief in the Gospel of John as accepting and acknowledging Jesus as "the unique mediator of salvation."

<sup>43</sup> Bultmann (1965: 170). For a fuller explication of the theme of "judgment" in John, see de Boer (1996: 154-155). Also, Dodd (1960: 307-308) and Ashton (1991: 220-226).

<sup>44</sup> Loader (1989: 103-104) argues it is the climax of Jesus' mission as revealer, in that it reveals the character of the relationship between the Father and Son. Conversely, de Boer (1996: 140-144) contends the resurrection and ascension actually constitute the climax of Jesus' revelation.

<sup>45</sup> Brown (1966/70, v.2: 712), Haenchen (1984: 143-144), and Loader (1989: 106). Note also that in 16:8 Jesus foretells that the spirit will "ἐλέγξει" (prove wrong, or expose) the world regarding sin and righteousness and judgment.

<sup>46</sup> Loader (1989: 104-106).

same time Jesus' rejection and subsequent vindication by his return to the Father reveals, for all who want to see, that he is the one he claimed to be.<sup>47</sup>

The grounds for rejection as God's client is thus "taken away" for all those who accept God's broker who has been sent into the world, Jesus. Those who so do are no longer estranged by their disloyalty, or sin. Whereas those who reject Jesus are, as a result of their failure to accept the true broker, estranged from the patron God, and in the case of the Ἰουδαῖοι, their treasured means of brokerage to God are shown to be inefficacious.

Getting back to the title "Lamb of God," we conclude it is an honorable one and the honor connected with it results from the work of "taking away the sin of the world." The Fourth Evangelist's reworking of the sacrificial lamb image to be a symbol of honor is not unique within the New Testament; it also features prominently in Revelation.<sup>48</sup> Many efforts have been made to explain the imagery of the lamb in John's Gospel. However, these efforts have not led to any consensus regarding its meaning.<sup>49</sup> In light of this fact, we propose a perspective on the lamb imagery which, to our knowledge, has not been considered. Undergirding our perspective are the insights of the social psychologist Henry Tajfel, specifically his theory of "social creativity."<sup>50</sup>

Through his studies of group behavior Tajfel finds that members of minority groups which possess an "inadequate social identity" will take steps to alter their situation. According to Tajfel, social comparison drives those of inferior status in society to create, achieve, preserve, or defend a positive conception of themselves. This effort he calls "social creativity."<sup>51</sup> Social creativity can take several forms. If a group as a whole accepts the inferior status assigned to them by the wider society, individual members of that group will attempt to develop a positive self image by individual means.<sup>52</sup> But if the collective group does not view their inferior status within the society as fair and legitimate,

---

<sup>47</sup> Loader (1989: 106-107).

<sup>48</sup> Some scholars see little relationship between the "Lamb of God" in John, "ὁ ἀμνὸς τοῦ θεοῦ," and the lamb in Revelation, "τὸ ἀρνίον," because of the different terms used for "lamb." But it is quite possible that "τὸ ἀρνίον" was chosen for literary-dramatic effect in Revelation, since "τὸ ἀρνίον" opposes "τὸ θηρίον," the beast. Furthermore, as Whale (1987: 290-291) has pointed out, "τὸ ἀρνίον" does occur in John 21:15, so the difference in vocabulary between John and Revelation is not consistent. However, it is generally agreed that chapter 21 of John is redactional, therefore the word choice in 21:15 may not be the Evangelist's. Still, the Fourth Evangelist may have chosen specifically to employ "ὁ ἀμνὸς" in the phrase "Lamb of God" in John 1:29,36 because "ὁ ἀμνὸς" occurs in the LXX translation of Isaiah 53:6-7, a passage on which John's "Lamb of God" could be based. All in all, the vocabulary distinction between John's "Lamb of God" and the lamb of Revelation provides little help in our interpretation of John's "Lamb of God."

<sup>49</sup> See note 25.

<sup>50</sup> Tajfel (1981).

<sup>51</sup> Tajfel (1981: 338).

<sup>52</sup> Individuals do this by 1) comparing themselves to and competing with members of their own group, or 2) attempting to leave their group and assimilate into the dominant group (known as "social mobility") (as summarized by Williams and Giles [1978: 434]).



the group as a whole will take certain measures to solve the problem. Tajfel outlines three ways this can be done.<sup>53</sup> 1) The group can strive to become more like the dominant group. 2) The group can reinterpret their existing inferior characteristics so they no longer appear as inferior and acquire a positively valued distinctiveness from the dominant group. 3) The group can create through social action or the diffusion of new “ideologies” new group characteristics which have a positively valued distinctiveness from the dominant group.

Tajfel’s second solution, reinterpreting negative characteristics so that they no longer appear as negatives but as positives, is the key point for our discussion. It seems this is largely what the authors of John and Revelation were doing when they reinterpreted their crucified Messiah as a triumphant sacrificial lamb, achieving redemption for the faithful of Israel. Jesus’ crucifixion no doubt earned the early Christian movement ubiquitous disdain within its Israelite context. Reevaluating Jesus’ death was a central concern for Christians in the decades following it, and different Christian thinkers went about that reevaluation variously. For example, Paul reinterprets the cross to be a thing of power by which Jesus reconciled humanity to God (1 Cor 1:17-18). Though the world views the cross as an offense (1 Cor 1:18, 23), it is actually the cross which allows Christians to have victory over the world (Gal 6:14). This reversal of the image of the cross from an object of shame to one of power and victory is one way that early Christians went about “creating” a positive social identity for themselves.<sup>54</sup>

The same can be said about the reinterpretation of the sacrificial lamb in John. The fact that John’s lamb represents a victorious, honorable figure does not necessarily mean the Evangelist had in mind apocalyptic imagery. The reinterpretation of the paschal lamb as honorable and as the means of removal of all barriers between the patron God and God’s clients, since the barrier is in essence unbelief in God’s true broker, as well as the application of that imagery to Jesus can be explained as an act of social creativity on the part of the Evangelist and the Johannine Christians. Significantly, they chose to reinterpret an image that was especially meaningful to their main opponents, the Ἰουδαῖοι. That the Johannine Christian group worshipped a crucified Messiah was indubitably one of the negative characteristics of the group in the eyes of the dominant group, the Ἰουδαῖοι. Therefore, the group solves this problem by taking this inferior characteristic and turning it into a positively valued distinctiveness from the dominant group. Their Messiah Jesus is thus characterized as the perfect paschal lamb who manages to acquire removal of sin once and for all. Conversely, their opponents are

<sup>53</sup> Summarized from Tajfel (1978: 94).

<sup>54</sup> See Esler’s (1998) extensive discussion of Tajfel, and his use of Tajfel’s “social identity theory” in interpreting Galatians.



implicitly condemned for relying on ineffective means of removing the barrier of sin. John's "Lamb of God" needs to be understood in the context of the contest between Jesus and the Israelite religion as purported brokers to God. In lieu of this context, the Evangelist reappropriates the key symbol of redemption according to Israelite religion and asserts that only the broker Jesus is capable of procuring removal of sin and opening the way for him to broker access to eternal life. The context of this reinterpretation is defensive.

The day following John's interrogation by the brokers of the Ἰουδαῖοι and the Pharisees, Jesus appears. John's reply to the question of the previous day: "Why then are you baptizing if you are neither the Messiah, nor Elijah, nor the prophet?" culminates when he sees Jesus. At that point he declares that his baptism is in order for the "Son of God" to be revealed to Israel, disassociating his baptism from the traditional baptismal function of purification. The text does not tell us whether John's inquisitors are around to hear this response. Next, John sees the spirit descend on Jesus and remain (ἔμεινεν) on him.<sup>55</sup> John was awaiting this event, according to the Evangelist. John was sent by God that Jesus might be revealed to Israel, and John is to testify to him "so that all might believe through him" (1:7). Significantly, the spirit identifies Jesus to John and makes the revealing of Jesus, and subsequently John's confession, possible. John testifies: "The one who sent me to baptize with water said to me, 'He on whom you see the spirit descend and remain is the one who baptizes ἐν πνεύματι ἁγίῳ [in holy spirit]'" (1:33).<sup>56</sup> In his momentous testimony to Jesus in 1:34, John affirms that Jesus is the one on whom the spirit abides (1:32). Because the spirit remains on him, Jesus can baptize others "in holy spirit." Why does the Fourth Evangelist emphasize the spirit's abiding with Jesus? Some commentators believe the Evangelist's emphasis primarily shows that the spirit dwelt permanently with Jesus, that the spirit's descent on Jesus was not a fleeting experience, but rather that it heralded the lingering presence of the spirit with Jesus.<sup>57</sup> But what exactly is the significance of this? Is the Evangelist suggesting that Jesus needed the spirit or was empowered by it? This idea would seem incongruent with the Evangelist's emphasis on Jesus' superiority over all things except the Father. Does the Evangelist wish to say the spirit abides with Jesus so that Jesus can confer it upon others, by

---

<sup>55</sup> The phrase "like a dove," since it was an integral part of the John the Baptist tradition (see Mt 3:16, Mk 1:10, Lk 3:22), probably does not have independent significance for the Fourth Evangelist. He has merely adopted it as a piece of traditional imagery (Barrett [1978: 178]).

<sup>56</sup> "ἐν πνεύματι ἁγίῳ" (1:33) can be translated either "in holy spirit" or "with holy spirit." Though we opt for the former translation, we contend that the different translations do not imply significantly different meanings. In §1.6. of this chapter we argue that the phrase "baptizes in holy spirit" does not insinuate a literal baptism "in" water, representing spirit.

<sup>57</sup> For example, Pink (1945: 60), Brown (1966/70, v.1: 66), Lindars (1972: 110), Barrett (1978: 178), Burge (1987: 54).

baptizing them in holy spirit? This could be inferred by John's comments in this passage. But if this is the case, one would expect Jesus to be actively conferring spirit throughout his ministry, since the spirit was already remaining on him, yet in 7:39 we are told the spirit did not become available to believers until after Jesus was glorified. If the spirit remained on Jesus so that Jesus could confer it to believers, it would seem that the spirit was dormant during Jesus' ministry. Does the spirit serve to legitimate Jesus' ministry somehow? The reference to Jesus' baptizing in the spirit must be read in conjunction with John's answer to the question of the previous day of why he baptizes: "I baptize with water," John says, using the emphatic "I," "but another comes after me"... John's circuitous answer sets up a contrast which becomes clear with the mention of Jesus' baptism in holy spirit. John's baptism in water pales in comparison to the baptism which Jesus will bring. That Jesus will baptize in spirit sets him apart from John whose baptism is merely one of water. It is earthly. The fact the spirit remains on Jesus signifies him as bearer of the heavenly benefit of spirit which he will give to his potential clients. Thus the remaining of the spirit does seem to serve a legitimating function here. It identifies and legitimates Jesus as the one who will proffer divine benefits.<sup>58</sup>

The prediction that Jesus will baptize in πνεῦμα is part of the traditional narrative of John and is included in all of the Gospels. However, in Q John says Jesus will baptize in holy spirit and fire (Mt 3:11 and Lk 3:16). The association of "πνεῦμα ἁγίον καὶ πυρὶ" is interesting. In the Q passage John also says the one coming after him "will clear his threshing floor and gather his wheat into the granary, and the chaff will burn with unquenchable fire" (Mt 3:12; Lk 3:17). He thus prophesies one who will purify Israel with a fiery punishment.<sup>59</sup> In this case, spirit probably denotes a cleansing in the Q tradition, fire and spirit together signifying judgment and purification. Spirit bears such a connotation in the Qumran literature (1 QS 4.20f., 1QH 50.12, and 1QS 3.6-8) and occasionally in the Old Testament (Isa 4:4; Ez 36:25-26). Nonetheless, in the Fourth Gospel, John's saying that Jesus would baptize in holy spirit does not include a reference to fire and does not imply judgment. Still, could the coupling of the prediction with the confession of Jesus as the Lamb of God who would take away the sin of the world suggest the Evangelist conceptualizes the spirit as a cleansing spirit? It does not seem that he does. As we earlier explained, the sacrifice of Jesus, the Lamb of God, does not remove sin through a process of purification, but through revelation. Jesus' death reveals his relationship to God, and thus his status

<sup>58</sup> On the legitimation of Jesus in John, see also McGrath (1997).

<sup>59</sup> Best (1960: 237). Best argues that πνεῦμα may simply have meant "wind" in John's original saying, since wind, like fire, was often associated with judgment in the Israelite tradition. The adaption of the saying to refer to holy spirit rather than wind would have happened at the hands of Christians who changed the meaning from one of judgment to one of redemption/purification (1960: 240).

as supreme broker to God, and exposes the disloyalty of the world who have rejected God's true broker. For those who can see this and who choose to accept Jesus, the barrier of sin, or disloyalty, is taken away. The way is open for them to enter into a relationship of patronage with God and receive eternal life. Thus, there does not seem to be a connection between the spirit and judgment/purification in this passage. If the Evangelist was aware of such a connection in the tradition, he has purposely left it out of his narrative.

The meaning of "baptize in holy spirit" in John is difficult to ascertain. Does the Evangelist use baptism as a metaphorical way of referring to Jesus' impartation of spirit, or does Jesus literally impart the spirit to believers through water baptism? A baptizing ministry of Jesus is mentioned in 3:22 and 4:1, but a qualification is added to the latter mention in 4:2: "it was not Jesus himself but his disciples who baptized." What about the statement in 7:39 that the spirit would not be given until Jesus had been glorified? This implies that Jesus did not impart the holy spirit before his "hour," and seems to rule out a literal baptism in spirit. These are difficult questions which merit careful attention, especially considering the association of water and spirit in 3:5. We will therefore devote a section to the discussion of "Baptism, water, and spirit" (see §1.6.) following our exegesis of John's spirit passages.

Returning to our narrative, John in the end confesses, "I myself have seen and have testified that this [the one on whom the spirit descended and remained, v.33] is the Son of God" (1:34). The contrast between John and Jesus is made salient with the spirit's descent and John's testimony to Jesus' honor as spirit-bearer and Son of God. Bultmann, in his commentary,<sup>60</sup> comments that Jesus' δόξα, or "glory," referred to in 1:14 is not revealed until chapter two of John. This conclusion proves unwarranted. He, along with many commentators, fail to recognize the significance the Evangelist places on the spirit's descent in this passage.<sup>61</sup> The abiding of the spirit signifies Jesus as the "Son of God," a title implying great honor. Δόξα, which can be translated "honor" as well as "glory,"<sup>62</sup> implies

---

<sup>60</sup> Bultmann (1971: 84).

<sup>61</sup> The event is not even mentioned in his comments on 1:29-34 (Bultmann: 1971)!

<sup>62</sup> Liddell and Scott (1997: 209).

the honoring<sup>63</sup> of Jesus by God in John, or Jesus' honoring of the Father through his obedience and love.<sup>64</sup> As "Son of God," Jesus has the honor of God the Father as well as access to all that is the Father's (3:35; 16:15), including the spirit which seems to come down from God (though this is not explicit in the text). The abiding of the spirit on Jesus, highlighted by the Johannine catch-phrase "remain" (ἔμεινεν, 1:32), allows John to identify Jesus as "Son of God."

Since the spirit identifies Jesus to John as the Son of God, *the spirit does indeed function as a legitimation of Jesus*. The dichotomy presented throughout the Gospel of flesh vs. spirit or earthly vs. heavenly supports the interpretation of the spirit as avowing Jesus' honorable, "heavenly" identity. The spirit's abiding on Jesus marks him as "of the spirit" and "from above." Therefore, it legitimates Jesus over his enemies in the Gospel who are shown to be of the world or earthly (8:23). He is the "Son of God" whereas they are sons of the devil (8:44). Moreover the importance of Jesus' having the spirit upon him becomes more evident as the Gospel progresses and Jesus is repeatedly measured against some of the Israelites most revered brokers. The association of Jesus' with spirit will play a role in setting him apart as the only figure able to broker access to the spirit realm, the realm of God. And in our passage, the abiding of the spirit not only identifies Jesus as the Son of God, but it legitimates Jesus as the bearer of the divine benefit of spirit which he will confer to his potential clients. In contrast to John, Jesus will baptise in spirit (1:33).

It is fitting that John calls Jesus "Son of God" in our passage (1:34).<sup>65</sup> Kinship language was often used for patrons and brokers/clients, as it aptly expressed the loyalty, obedience, and dependence of a client, the "child" (see 1:12), and the loyalty and provision of a patron, the "father." The patron-client relationship usually takes the form of fictive kinship.<sup>66</sup> This is significant for our interpretation of the Father/Son language of the Fourth Gospel. The Father/Son language of John does have a

patronal tone about it, as implied in Schnackenburg's conclusion:

<sup>63</sup> Malina (1993: 31-34) succinctly defines honor as "a claim to worth along with the social acknowledgment of worth" (p.31). In John 1, Jesus is depicted as having "ascribed honor." Jesus' honor is ascribed to him by God who has the power to force acknowledgment of Jesus' honor. In John, Jesus' δόξα is the affirmation of who he says he is, the one sent from God. In the Mediterranean culture, honor is valued above all else. For more on honor and its counterpart, shame, in the Mediterranean cultural context, see Peristiany (1965, 1976), Pitt-Rivers (1968, 1977), Schneider (1971), Friedrich (1977), Gilmore (1987), Peristiany and Pitt-Rivers (1987), Moxnes (1993), and Malina (1993: 28-62).

<sup>64</sup> See Loader (1989: 107-116), de Boer (1996:176-182), and Piper (1998) on the meaning of "δόξα" in John. These scholars assert that δόξα is best understood as honor in John. Piper also demonstrates how it is used in John 17 within a context of patronage.

<sup>65</sup> Several scholars accept the title "ὁ ἐκλεκτός" in place of "Son of God" as it is a variant found in some MSS.

However, "Son of God" is much more strongly supported by MSS evidence (including P<sup>66</sup> and P<sup>75</sup>). And though these scholars argue it would have been far more likely for a copyist/editor to change "ὁ ἐκλεκτός" to "Son of God," a more popular title for Jesus, it can also be argued that copyists/editors may have changed "Son of God" to "ὁ ἐκλεκτός" in order to make the passage align with Isa 42:1. to which the Synoptic parallels seem to refer (Gravston [1990: 24]).

<sup>66</sup> Silverman (1967: 287).

The Johannine Son-Christology is essentially the doctrine of salvation for believers..., with Jesus as God's emissary revealing and mediating salvation. ...Jesus Christ, who is our access to the Father, the revelation in this world of the remote, invisible God; the disclosure of God's love for the world, which otherwise remains hidden and incomprehensible to us; the light which makes sense of our existence and the way along which we can attain to its goal: these are the matter with which the Johannine Son-Christology is concerned: indeed, they are the very heart of it.<sup>67</sup>

By noting that the central concern of John's Son-Christology is Jesus' role as God's emissary who mediates salvation and provides access to God's "love" and "light," Schnackenburg implies the Son-Christology centers on Jesus as broker.

But though the relationship of the Father to Jesus in John is characterized as a patron-broker, or patron-client relationship, is the relationship between the Father and Jesus merely conceptualized as fictive kinship? Not necessarily. It could be much more than that.<sup>68</sup> While patrons and clients often have a fictive kinship relationship it is important to remember that sometimes patrons and clients, especially in the form of brokers, can be true kin.<sup>69</sup> Family members constitute some of the key "hinge" figures, or brokers, in patronage societies.<sup>70</sup> Having kinsmen with valuable connections is a principal way to solicit benefits from a patron. Consequently, a son can broker a deal between his real father and a client by providing the client with a connection to his father, or by recommending the client to him. In such situations, the son is considered an ideal broker/patron by the client precisely because of his strong kinship ties. As Samir Khalaf writes, "The son, himself his father's client, attains more credibility as a patron if the source of his patronage is reinforced by family loyalty."<sup>71</sup> Such family-based connections are made by cousins, uncles, wives, children, etc., who all function as brokers within a patronage society. So when a son brokers a deal between his father and a client, the father-son relationship very much resembles a patron-client relationship between non-kin. Operationally, the exchanges are quite similar, yet the relationship is different. Most significantly, true kin are not voluntarily associated.<sup>72</sup> In Mediterranean society they are obligated to each other for life<sup>73</sup> and share all things in common to the extent that if a kinsman has a need, his or her fellow

<sup>67</sup> Schnackenburg (1980/82, v.2: 185-186).

<sup>68</sup> See §1.3. of Chapter One on "Kinship and Patronage."

<sup>69</sup> Campbell (1968: 143). See Saller (1982: 64-69, 176-180) on the patronage of family members in the Early Roman Empire.

<sup>70</sup> See Kenny (1960: 20-21), Campbell (1964: 98-99), Boissevain (1966: 21-22, 24-29), Khalaf (1977: 196), Loizos (1977: 119), Davis (1977: 135), Cunningham/Sarayrah (1993), and de Silva (1996: 96).

<sup>71</sup> Khalaf (1977: 196).

<sup>72</sup> Boissevain (1966: 22).

<sup>73</sup> Boissevain (1966: 19-20).



kinsmen must share their possessions until that need is met,<sup>74</sup> as Proverbs 17:17 states: “kinsfolk are born to share adversity.” This kind of giving and sharing as needed is called generalized reciprocity or “generalized exchange.”<sup>75</sup>

In John, Jesus’ relationship with the Father does appear to be one of true kinship. Jesus is described as “τὸν υἱὸν τὸν μονογενῆ [the only begotten son]” (3:16, see also 1:14,18). This suggests Jesus’ relationship with God is unique, and not, for example, like the fictive kinship relationship between God and Israel. Moreover, Jesus’ heavenly origin, the focus of attention throughout the Gospel, suggests Jesus shares a truly paternal relationship with God the Father. While the Father/Son language of the Fourth Gospel could merely indicate the patronal element in Jesus’ relationship to the Father, it in fact seems to express true paternity. Indeed Jesus’ greatest advantage over other purported brokers to God is his heavenly origin and his ability to claim for himself the honor status of his Father, God. Jesus is “τὸν υἱὸν τὸν μονογενῆ [the only begotten son]” and thus can claim an edge over all other brokers. This is where Jesus’ claim to true sonship has the most effect. The effectiveness of Jesus’ brokerage depends entirely on his unique ability as God’s Son to mediate access to God.<sup>76</sup> As Paul Meyer writes in his study on “The Presentation of God in the Fourth Gospel”:

...Behind Jesus’ life and activity lie the Father’s will (6:40), the Father’s life (15:10), the Father’s acting (14:10), the Father’s word (14:24), and the Father’s love (15:10). ‘My Father’ in the mouth of Jesus... makes it clear that God is *his* Father as no one else’s.<sup>77</sup>

The characterization of Jesus as son and God as father does not merely serve to lend authority to Jesus’ ministry. Rather it functions to distinguish Jesus from all other brokers, since he is shown to be originated from God and to share an intimacy with God that is distinctive to the kin relationship. This is one reason the “sent-language” and “oneness-language” of the Gospel cannot be explained in terms of juridical practices of “agency”.<sup>78</sup> Many agents can bear the authority of the sender and carry his words. The emphasis of John’s sent-language and his characterization of Jesus’ relationship to the Father is not on Jesus’ authority as an agent or on his message, but much more so, on Jesus’ unparalleled closeness with the Father<sup>79</sup> and his ability to represent the God-realm like no one else, simply because he alone was sent from there. As Meyer concludes, the sent-language of John is always God-centered

---

<sup>74</sup> Bartchy (1991: 314).

<sup>75</sup> See Moxnes (1988: 34-35) and Eisenstadt and Roniger (1984: 32-34).

<sup>76</sup> This point is made by de Silva (1996) in relation to the letter to the Hebrews.

<sup>77</sup> Meyer (1996: 260).

<sup>78</sup> See our extended discussion of the model of “agency” in Chapter Four, §2.1.

<sup>79</sup> See Schnackenburg (1995: 253-258).



language (ie God is described as “the one who sent,” while Jesus is never described as “the one who was sent by God”). The sent-language aims to identify Jesus’ origins in God, and God’s work through him.<sup>80</sup> It does not primarily authorize Jesus as an “agent” or legitimate his message, but demonstrates that Jesus’ mission in the world is significant because it is exclusively through him that God is making available spiritual birth. Agency cannot account for the stress on exclusivity inherent in John’s Christology.

According to the cultural presuppositions of Mediterranean societies the divide between higher and lower orders must be bridged by some sort of mediator or broker.<sup>81</sup> Direct autonomous access to God, or to persons of higher social status than oneself, is typically thought to be impossible, so reliance on brokers predominates.<sup>82</sup> As stated above, these mediators must represent the interests of both “orders.” Their qualification as brokers requires that they have one foot in both worlds, so to speak. This explains Jesus’ insistence in John’s Gospel that he is the only one who fits this criteria. He is “from above” and preexistent. His divine origins thereby make him capable of functioning as a broker to God. No other person or group or institution possessed this capability. Interestingly, this capability is lucidly ascribed to the λόγος in Philo:

To His λόγος (Word), His chief messenger, highest in age and honor, the Father of all has given the special prerogative, to stand on the border and separate the creature from the Creator. This same Word both pleads with the immortal as suppliant for afflicted mortality and acts as ambassador of the ruler to the subject. He glories in this prerogative and proudly describes it in these words ‘and I stood between the Lord and you’ (Deut. 5:5), that is neither uncreated as God, nor created as you, but midway between the two extremes, a surety to both sides...<sup>83</sup>

Here Philo conceptualizes the λόγος as a heavenly “ambassador,” mediating access between God and his creatures. The λόγος is described as somehow created by God, yet standing apart from creation. Jesus, the λόγος of God, is in John also conceived of in these terms. As the “only begotten Son of God” Jesus is sent from God to humanity, “to stand on the border” between the two.

In 1:32-34, the spirit’s abiding presence on Jesus legitimates Jesus as being from God, occasioning John’s confession of Jesus as God’s Son (v.34). This conclusion of the narrative demonstrates Jesus’ unique status as the true Son of God and thus as the only possible mediator between God and humanity. God’s spirit abiding on him not only signified his identity but also showed that he was the bearer of a key

---

<sup>80</sup> Meyer (1996: 264-265).

<sup>81</sup> See, for example, Boissevain (1966: 30).

<sup>82</sup> Eisenstadt and Roniger (1984: 206-207).

<sup>83</sup> Philo, *Who is the Heir?* 205f., cited from Malina and Rohrbaugh (1998: 38-39).

benefit which his potential clients will need. As the one bearing the spirit, Jesus was the one who would baptize others in spirit. Our passage does not indicate that he was empowered by the spirit in some way.<sup>84</sup> Rather, he is the one who will confer spirit to those who accept him, and as the Gospel progresses the magnitude of this activity for them becomes quite clear (3:5).

We have chosen to jump forward at this point to the end of John in order to interpret the last spirit passages of John in conjunction with the first, for they are integrally related. In the first chapter of the Fourth Gospel John declares Jesus to be the one who will baptize in holy spirit. Then in 7:39, a passage which will be given more extensive attention later in our study, the Evangelist writes that those who believed in Jesus would not receive spirit until Jesus had been “glorified.” Later, in 20:22, after the resurrection, Jesus “ἐνεφύσησεν” (breathed in) the disciples and told them “Λάβετε πνεῦμα ἅγιον” (Receive holy spirit). Some kind of relationship seems to exist between these three passages: one predicts the imparting of (“baptizing in”) spirit; the next points to that impartation after Jesus’ glorification; and the last reports the fulfillment of the conferring of spirit to the believers. The three aforementioned passages form a continuous strand through the earthly ministry of Jesus. Spirit is central in the commencement of Jesus’ earthly ministry, is highlighted during the course of that ministry, and plays an pivotal role in its concluding scene. This strand makes it evident that the conferring of spirit by Jesus plays a vital role in his mission. We will look at 20:22, where Jesus gives spirit to the disciples, shortly. But first we must examine a spirit passage toward the end of the passion narrative.

1.1.2. John 19:30-34. After Jesus had said he is thirsty “in order that scripture might be fulfilled,” and after his crucifiers had sated his thirst with the sour wine offered on a branch of hyssop, he declared, “It is finished.” Then he bowed his head and gave up the spirit [παρέδωκεν τὸ πνεῦμα] (19:30). The wording of this last phrase stands out to the sensitive reader of the Gospel. Is this the imparting of spirit promised by John, and presaged in 7:39? Or has the Evangelist just found a creative way of saying “he died.” Some scholars choose the latter option,<sup>85</sup> interpreting the Evangelist’s words to mean “he gave up his breath, or his life-force.” This would not be an inaccurate translation of πνεῦμα, since the word can indeed denote the force giving life to humanity. However, the

---

<sup>84</sup> Beare (1987: 112).

<sup>85</sup> For instance, Bultmann (1971), Schnackenburg (1980/82, v.3), Beasley-Murray (1987), and Witherington (1995).

phrase “παρέδωκεν τὸ πνεῦμα” was never used by Greek writers as a way of saying someone died.<sup>86</sup> Dodd comments that “παραδοῦναι is more often used of ‘handing on’ a piece of property (or a piece of information, or the like) to a successor.”<sup>87</sup> Liddell and Scott (1997: 595) include as possible meanings, “1. to give or hand over to another, transmit...to one’s successor,” “2. to give... into another’s hands, ...to deliver up, surrender,” “3. to give up,” “4. to hand down.”<sup>88</sup> Likewise, the word πνεῦμα could also have various connotations in 19:30. It could refer to Jesus’ life force or to God’s spirit. Apparently, on the surface, there is a broad range of possibilities for the meaning of παρέδωκεν τὸ πνεῦμα in John 19:30. We must take a closer look at the context of the phrase before we can discern which meaning the author intended.

Some scholars argue that the Evangelist uses παρέδωκεν τὸ πνεῦμα to emphasize the voluntariness of Jesus’ death,<sup>89</sup> an emphasis made in Matthew, who writes, “Jesus sent away/discharged [ἀφῆκεν τὸ πνεῦμα] the Spirit” (Mt 27:50). Mark and Luke also include a variation of the saying in their passion accounts, but there the saying simply means “he died.” Both Mark and Luke have: “Jesus breathed his last/expired [ἐξέπνευσεν]” (Mk 15:39; Lk 23:46), but Luke interjects a note of voluntariness with his use of Ps 31:5: “Father, into your hands I commend my spirit.” The Fourth Evangelist repeatedly punctuates the voluntariness of Jesus’ death (10:17-18; 12:27; 14:31; 18:11).<sup>90</sup> Jesus sometimes even initiates the action in the passion account (18:4-8; 19:28,30), for the cross is his exaltation, not his victimization.<sup>91</sup> So voluntariness could conceivably be the author’s meaning in 19:30. However, this would not adequately account for the uniqueness of the Johannine language in 19:30. The Evangelist’s word choice, παραδοῦναι, does not make sense if he was primarily emphasizing Jesus’ upperhandedness, for the word implies the giving up/over of something to another. Matthew’s phrase, ἀφῆκεν τὸ πνεῦμα, would constitute a better choice for the Evangelist if voluntariness was his intended meaning.

Since παρέδωκεν τὸ πνεῦμα was not usually a way of saying someone had died, and since the Evangelist does not use the phrase simply to stress the voluntariness of Jesus’ death, another meaning must be intended. We propose the author’s meaning in 19:30 is ironical. After all, irony does feature

<sup>86</sup> Porsch (1974: 328).

<sup>87</sup> Dodd (1960: 428).

<sup>88</sup> Liddell and Scott (1997: 595).

<sup>89</sup> For example, Schnackenburg (1980/82, v.3) and Lindars (1972).

<sup>90</sup> de Boer (1996: 142).

<sup>91</sup> de Boer (1996: 143).

prominently in John.<sup>92</sup> Paul Duke points out that irony has three aspects:<sup>93</sup> 1) it presents a double-layered or two-storied meaning, 2) it presents opposition, and 3) it contains an element of “unawareness” or lack of understanding. In our passage there does appear to be two levels of meaning. On one level the text expresses that Jesus died, while on another level it communicates that Jesus released the holy spirit. As Duke points out, however, the second aspect of irony, that it presents opposition or clash of meaning, distinguishes irony more starkly than does a two-level meaning.<sup>94</sup> Irony presents a situation where the true meaning of an expression actually opposes the meaning seemingly being communicated, or where the true meaning somehow contrasts with the apparent meaning. In situations where irony is employed, certain characters involved in the discourse, either the speaker, or the speaker’s dialogue partner/partners, or the audience, fail to see the irony of the expression and to apprehend its true meaning (aspect #3). 19:30 does seem to present a scenario where the true meaning intended by the author opposes the apparent meaning of what is expressed. On the surface, *παρέδωκεν τὸ πνεῦμα* seems to mean that Jesus has died, however, the true meaning of the expression is that Jesus has just made the life-producing spirit available. The contrast inherent in the irony is one between death and life. Other evidence from the Gospel lends support to this interpretation.

The saying of the Evangelist in 7:39 that spirit would be received by the believers after Jesus’ glorification proves significant here, since Jesus’ glorification is occasionally portrayed as parallel to his crucifixion (12:23-32; 13:31; 21:19). Does 7:39 predict that spirit will become available to the believers upon Jesus’ “lifting up,” or crucifixion? It would be easier to answer this question affirmatively if the glorification of Jesus were unambiguously connected with the crucifixion, but this is not the case. In John, Jesus’ “hour of glorification” (2:4; 7:30; 8:20; 12:23, 27; 13:1; and 17:1) stretches over a period of time and encompasses several events. After Judas has gone out to betray Jesus, Jesus says, “Now the Son of Man has been glorified” (13:31), and at the end of the long farewell scene between Jesus and his disciples (ch. 13-17) Jesus remarks, “Father, the hour has come; glorify your Son.” Yet at other points in the Gospel the Evangelist links Jesus’ hour of glorification to his crucifixion, as mentioned above, as well as to the resurrection or ascension (12:16; 17:5). Consequently, it appears he conceives of Jesus’ glorification as fluid. From the point of betrayal, to the crucifixion, to the resurrection, to the conferring of spirit, to the ascension, the Father glorifies Jesus. The entire passion account constitutes

---

<sup>92</sup> See Duke (1985), Richard (1985), O’Day (1986), Ashton (1991: 412-420), and Swetnam (1993) on John’s use of irony.

<sup>93</sup> Duke (1985: 13-18).

<sup>94</sup> Duke (1985: 14).

Jesus "hour," when both God and Jesus are honored by Jesus' obedience to and love for God and when God glorifies, or honors, Jesus for his loyalty and love.

That the "hour" of Jesus' glorification encompasses several events and extends over a long period of time unsettles modern American and North Atlantic interpreters. We are accustomed to thinking of time and events in a linear, chronological fashion and strive to comport the New Testament narratives with our own understandings of time. But the Mediterranean conception of time differs from ours in significant ways.<sup>95</sup> It is present-oriented, whereas American and North Atlantic cultures are future-oriented.<sup>96</sup> Present-oriented persons usually apprehend future-events only when those events are somehow rooted in the "perceived present," if they are "forthcoming," meaning they are the working out of something tangibly present. For example, the birth of a child constitutes a forthcoming event. It lies on the horizon of the perceived present since it is the "potentiality" or the result of something tangibly present, the pregnancy of a woman. The perceivable experience of pregnancy roots the forthcoming birth in the perceived present, so that the birth of the child is not viewed as a future event in the way we would perceive it, as an event divorced from the present, but as a part of the present. A linear, future-oriented concept of time causes one to think of the present as a segment on a continuum which is here and then gone.<sup>97</sup> But Mediterranean persons, with their present-orientation, experience time not as a continuum, but as "made up of a series of heterogeneous islets of differing duration."<sup>98</sup> For them, time consists of discontinuous, disjointed "events." And the "present" can encompass both events palpable in the here and now (the actual present) and forthcoming occurrences resultant from those events, for "the forthcoming is perceived in the same manner as the actual present to which it is tied by

<sup>95</sup> On the Mediterranean concept of time, see Bourdieu (1963), Boissevain (1982/83), and Malina (1996: 179-214). On the social-anthropology of time perception, see Iutovich, Babbit, and Iutovich (1979), Lauer (1981), McGrath and Kelly (1986), Maines (1987), and Jones (1988).

<sup>96</sup> Iutovich, Babbit, and Iutovich (1979: 71-72, 83) and Jones (1988: 22-24, 28). We acknowledge that American and North Atlantic "culture" constitutes a broad abstraction, since there are within America and North Atlantic countries distinct cultures, such as Native American cultures. The time perspective of these cultures may or may not be future-oriented, for example some Native America tribes, like the Chippewa and Navaho, are strongly present-oriented (Lauer [1981: 36-37]). African American culture also tends toward a present-oriented time perception (Jones [1988: 24]).

<sup>97</sup> Scholarly studies of time in antiquity have tended to draw a distinction between the Greco-Roman concept of time, in which time is thought to be circular and repetitive, and the Israelite concept of time, in which time is thought to be linear and progressive (Press [1977: 281-282]). But Momigliano (1966) has shown this dichotomy to be false. He proves the variability of concepts of time in Greco-Roman writers and argues that "the cyclical interpretation of time has roots in a religious experience which is manifest in Jews as well as in Greeks" (p.7-8). Furthermore, he makes the crucial, if obvious, point that: "There is no reason to consider Plato's thoughts about time as typical of the ordinary Greek man" (p.8). We posit that the same could be said about Israelites: there is no reason to consider a particular Old Testament writer's thoughts about time to be typical of the ordinary Israelite. On the other hand, an abstract model of the Mediterranean concept of time developed by anthropologists who have studied the culture of the area, can be useful for scholars striving to understand the general perceptions of time within that area (or regions of that area). We do not doubt that there are variations regarding concepts of time within the culture, as the literary evidence from antiquity bears out. But if the literary data from antiquity cannot provide us with a clear picture of how the *majority* of ancient Israelites, Greeks, or Romans thought about time, a model based on the broad observations by anthropologists about people *like* the ancient Israelites, Greeks, and Romans (ie Mediterranean peoples today), is our best alternative.

<sup>98</sup> Bourdieu (1963: 60).



an organic unity.<sup>99</sup> Thus at the time of planting, harvest is conceptualized not as a future event, but as part of the present.<sup>100</sup> Someone with this perception of time would have no trouble viewing Jesus' ascension as part of the present event of his glorification beginning at his betrayal. Likewise a phrase like "the hour is coming, and is now here" (4:23; 5:25) would not confound that person the way it does those of us with a linear conception of time.

So spirit, which the Evangelist tells us will not be available until after Jesus' glorification, could conceivably become available at the cross, an event included in Jesus' glorification, though not necessarily the glorification in total. This possibility does not, however, of itself justify an interpretation of 19:30 as an imparting of the spirit. An obstacle to that interpretation could be the way that spirit is unambiguously imparted to the disciples in 20:22. A conferring of the spirit in 19:30 would seem to make the same event in 20:22 redundant. This could be the most convincing argument against the interpretation of 19:30 as an imparting of the spirit, and has led several commentators to dismiss that interpretation as impossible.<sup>101</sup> Still, other scholars concede the Evangelist does intend the phrase *παρέδωκεν τὸ πνεῦμα* in 19:30 to refer to the holy spirit.<sup>102</sup> 19:30 need not be in conflict with 20:22; 19:30 need not refer to an *imparting* of spirit to the disciples as does 20:22. This impels us to explore the alternatives. If the conferring of the spirit to the disciples is not the true meaning of *παρέδωκεν τὸ πνεῦμα*, what is?

At this point John 19:34 warrants consideration. After Jesus has died, and the soldiers are preparing to remove his body from the cross, one of the soldiers pierces his side with a spear, and "at once" blood and water flow from Jesus' side [*πλευρὰν*].<sup>103</sup> This verse increases the validity of an interpretation of 19:30 as a reference to the holy spirit, for in 7:39, where the gift of spirit is foretold by the Evangelist, Jesus cries out, "Let anyone who is thirsty come to me, and let the one who believes in me drink. As scripture has said, '[Out of his belly, ἐκ τῆς κοιλίας αὐτοῦ] shall flow rivers of living water'" (7:38). Then the Evangelist explains that Jesus was referring to the spirit which the disciples would receive after Jesus had been glorified (7:39). The stream of blood and water flowing out of Jesus' side

---

<sup>99</sup> Bourdieu (1963: 61).

<sup>100</sup> Bourdieu (1963: 66).

<sup>101</sup> For example, Brown (1966/70, v.2), Sanders and Mastin (1968), Lindars (1972), Schnackenburg (1980/82, v.3), and Beasley-Murray (1987).

<sup>102</sup> Including Brown (1966/70, v.2), Grassi (1987: 27), Burge (1987: 135), Ashton (1991: 424), and Jones (1987).

<sup>103</sup> The Greek term used for Jesus' "side" is the same term used in the LXX for Adam's rib in Gen 2:21-22, where Eve is formed out of Adam's side. Howard-Brook (1994: 428-429) points out that the Greek word "κοιλίας," though usually meaning "belly," was used in John 3:4, as well as in the LXX and rabbinical texts to mean "womb." He presents the intriguing idea that the water and blood flowing from Jesus' "*πλευρὰν*" are redolent with images of birth and new creation.



after the crucifixion indubitably fulfills Jesus' words in 7:39.<sup>104</sup> "Living water" was a way of denoting "moving water" or "flowing water" as opposed to still. The water flowing or "coming out" of Jesus' side in 19:34 is the living water which represents the holy spirit in John. Several scholars support this conclusion.<sup>105</sup> The reference to the flow of water from Jesus' side representing spirit suggests that spirit did indeed become available upon Jesus' death, validating an interpretation of 19:30 as an ironical reference to the holy spirit. The two allusions to spirit relate intimately and together make it clear that the Evangelist depicts the crucifixion as the point when spirit became available. In 19:34 Jesus fulfills his promise to provide living water, or spirit (7:39), and thereby receives vindication as a true prophet (Dt 18:22). The Evangelist underwrites this fulfillment when he pens, "He who saw this has testified so that you also may believe. His testimony is true" (19:35). Our view that the water flowing from Jesus' side symbolizes spirit receives confirmation by the Evangelist's use of an excerpt from Zech 12:10 to conclude the passage (19:37), since Zech 12:10 portends an outpouring of "spirit."

While Jesus indeed makes the holy spirit available upon his death, in 19:30 it is never said that Jesus gives the spirit *to* someone. It is unlikely he imparts the spirit to the disciples here, since he does this in 20:22. Some scholars aver that in 19:30 Jesus gave the spirit to the mother of Jesus<sup>106</sup> and/or the Beloved Disciple who stand before the cross.<sup>107</sup> This interpretation is unconvincing. If the Evangelist wished to portray Jesus giving the spirit *to* someone he need not have concealed the identity of the recipient so well. It would have been easy enough for him to add a direct object. The fact that he chose not to use a direct object or to imply a recipient should caution us against naming one.

A better interpretation of παρέδωκεν τὸ πνεῦμα could be: he gave up, as in released, the spirit. This implies access to the spirit was made available by Jesus, but does not insist Jesus gave the spirit directly to anyone.<sup>108</sup> It means the availability of the spirit was activated upon Jesus' crucifixion, while leaving open the possibility that Jesus was making it available for the disciples upon whom it would later be bestowed, and allowing 20:22 to be the actual fulfillment of that bestowal. Several scholars support such an interpretation.<sup>109</sup> The implication of this interpretation is that upon his

<sup>104</sup> Hooke (1962-63: 374), Porsch (1974: 58), and Howard-Brook (1994: 429) are among the interpreters who avow this position.

<sup>105</sup> Such as Dodd (1960: 442), Schnackenburg (1980/82, v.3), Grigsby (1982, 1986: 107, n.21), Burge (1987: 135), Jones (1987), Swetnam (1993), Koester (1995), and Heil (1995). Contra Schulz (1983: 239-240) who deems 19:34 to be redactional, and who takes the blood and water to represent the sacraments of eucharist and baptism.

<sup>106</sup> See Grassi (1986) and Lieu (1998) on the role of Jesus' mother in the Gospel of John, as well as on the dynamics between her, Jesus, and the Beloved Disciple at the cross.

<sup>107</sup> Howard-Brook (1994:429) asserts Jesus gave the spirit to the Beloved Disciple who is representative of the Johannine Community, the ultimate recipients of spirit.

<sup>108</sup> Burge (1987: 135) describes it as a "loosing" of spirit.

<sup>109</sup> Such as Brown (1966/70, v.2), Burge (1987: 135), Ashton (1991: 424), and Jones (1987).

death, or “glorification,” Jesus became able to broker the spirit to humanity. The spirit was made available to God’s clients at that very point.

But what about the connotation of a successor implied by the word “παραδοῦναι”? This question will be answered more fully in our treatment of 20:22; however, we assert, in light of the bestowal of the spirit in 20:22, that the Evangelist depicts the disciples as successors of Jesus in having spirit. Like Jesus the disciples are soon to have the spirit, and in this regard they are Jesus’ successors. As Elijah passed on a double portion of spirit to his successor, Elisha, upon death (2 Kg 2: 9-14), so Jesus makes spirit available to his disciples at the close of his ministry.

19:30 and 19:34 of John demonstrate that Jesus’ ability to broker the spirit to believers constitutes a critical part of his crucifixion and glorification. John summarizes Jesus’ mission by saying, “he...is the one who baptizes [in holy spirit]” (1:33). Jesus is the one on whom the spirit abides, and by baptizing believers in God’s spirit, Jesus makes possible for them a “birth from above,” or spiritual birth. The integration of the release of spirit with Jesus’ crucifixion impacts our interpretation of Jesus’ passion and of what it means for Jesus to be glorified, or honored. A son and a client both receive honor through the obedience and loyalty they express toward their father or patron.<sup>110</sup> The honor associated with Jesus’ “hour” emanates from his faithfulness to God in completing the mission for which he was sent: “I do as the Father has commanded me, so that the world may know that I love the Father” (14:31, see also 10:15-17 and 12:27-28). The making available of spirit to God’s clients seems to be a central part of Jesus’ mission. Directly before Jesus “gave up the spirit” in 19:30 he uttered “It is finished [Τετέλεσται].” Beasley-Murray discloses that the word used by the Evangelist “denotes ‘to carry out’ the will of somebody, whether of oneself or another, and so to fulfill obligations.”<sup>111</sup> The obligations of Jesus are said to be accomplished at the very moment of his releasing spirit. This does not demand that releasing spirit constitutes the only significance of the cross, or of Jesus’ departure. Still, this function of the cross does appear to be a prominent one in the Fourth Evangelist’s portrayal of Jesus’ passion and is prepared for from the start of the Gospel.

1.1.3. John 20:22-23. John’s account of the appearance of Jesus to the disciples has affinities with the Synoptic tradition, suggesting the Evangelist used an earlier tradition similar to that of the

---

<sup>110</sup> Though a son has “ascribed honor,” or honor ascribed to him by nature of his birth, as well as “acquired honor,” honor earned through various means.

<sup>111</sup> Beasley-Murray (1987: 352).

other Gospels.<sup>112</sup> Nevertheless, in characteristic style the Evangelist takes over the earlier tradition and appropriates it to his own purposes, reworking its theology, for there is nothing to suggest the Johannine post-resurrection account conflicts with the overall tendenz of the Gospel.<sup>113</sup> For example, though Mary Magdalene traditionally appears among the first women at the empty tomb, in John she becomes the sole witness and the central focus of the first resurrection appearance. The conversation between Mary and Jesus hints at John's unique theology.

In an article on "The Characterization of God in the Fourth Gospel," Tolmie<sup>114</sup> notes the pivotal significance of Jesus' statement to Mary: "go to my brothers and say to them, 'I am ascending to my Father and your Father, to my God and your God'" (20:17). This is the first time since the Prologue (1:12) that God is described as the disciples' father.<sup>115</sup> Tolmie argues that throughout chapters 1 to 12 of John God is characterized primarily in terms of his relationship to Jesus. More than 80 percent of the references to God in this section concern his relationship to Jesus in one way or another.<sup>116</sup> And the relationship between God and Jesus throughout the Gospel repeatedly parallels that of a father and son, as well as a patron and broker/client. The conflicts Jesus encounters in these chapters, such as the challenge-and-response scenarios between Jesus and the Ἰουδαῖοι in chapters 5, 6, and 8, all focus upon Jesus' identity, and particularly on his claim to have God's paternity and patronage (5:17-30; 6:41-58; 8:48-59). In these conflicts Jesus is measured against some of the most revered brokers of the Ἰουδαῖοι: the scriptures (5:39), Moses (6:32), and Abraham (8:53). Jesus' defends his honor in each instance by claiming to be God's Son and broker.

The focus of the Johannine characterization of God broadens in chapters 13 to 21, where God comes to be characterized more often in terms of the relationship of God to believers. Interestingly, the focus of the relationship between God and believers usually centers on the *benefits* of that relationship

---

<sup>112</sup> Bultmann (1971), Lindars (1972), and Schnackenburg (1980/82, v.3) all believe the Evangelist to be drawing on his tradition in the account.

<sup>113</sup> Contra Bultmann who concluded that 20:22-23 are in conflict with 15:18-16:11 (1971: 690), where the disciples' mission to the world is not described as "forgiving and retaining sins" but as "testifying." But the activity of forgiving and retaining sin does not belie the disciples' work of testifying. As we will argue below, forgiving and retaining sins, like the work of testifying in 15:27 which involves a defense of Jesus before the prosecution of the world (see our Chapter Four, section §2.2.), constitutes a defensive activity in the disciples' dealings with the world.

<sup>114</sup> Tolmie (1997).

<sup>115</sup> The majority of commentators (for example Sanders/Mastin [1968], Brown [1970, v.2], Bultmann [1971], Morris [1972], Lindars [1972], Barrett [1978], Schnackenburg [1980/82, v.3], Beasley-Murray [1987], Carson [1991] and de Boer [1996: 130]) take ἀδελφούς in 20:17 to be a reference to the disciples and not to Jesus' literal brothers. We find this to be a reasonable deduction since, in response to Jesus' instructions to her in 20:17, Mary rushes off to tell the *disciples* what Jesus had said to her (v.18), and nothing in the text suggests she has either misunderstood or disobeyed Jesus. Furthermore, the literal brothers of Jesus just do not get much play in the Gospel of John, and when they do, they are treated as outsiders (see 7:1-10).

<sup>116</sup> Tolmie (1997: 64).

for the latter. Tolmie includes the following list of examples from the Farewell Discourses<sup>117</sup>:

- There is adequate space for them in his 'house' (14.2).
- He will send the Paraclete to them (14.16, 26; 15.26).
- He will love them (14.21, 23; 16.27).
- He will come and stay with them (14.23).
- He will prune the branches in order that they bear more fruit (15.2).
- He will grant their requests (15.16; 16.23).
- He will protect them from the Evil One (17.15).
- He will enable them to be one (17.21-22).

It is fitting that the focus of the relationship between God the patron and the client disciples should be on the benefits of that relationship for the clients, since patrons function to supply benefits to their clients. Yet aside from the benefits of the relationship, another aspect of the relationship between God and the disciples surfaces toward the conclusion of the Gospel. After Jesus' resurrection, Jesus tells Mary Magdalene, "go to my brothers and say to them, 'I am ascending to my Father and your Father, to my God and your God'" (20:17). This passage signals the cusp of the relationship between the disciples and God. The resurrected Jesus calls the disciples "brothers" and God "their Father." The possibility presented in the Prologue, that Jesus would give believers power to become "children of God" (1:12), becomes a reality through Jesus' passion, and in 20:17 Jesus declares that the disciples now share in the paternity of God the Father. But is this new "paternal" relationship between God and the disciples a fictive kinship/patron-client relationship, or true kinship? Are the disciples now to be thought of as Jesus' true brothers and as true children of God, or as Jesus' fictive brothers and as God's fictive children and clients? The revelation to Mary in 20:17 sets the stage for the appearance of Jesus to the disciples and the conferring of the spirit to them. This suggests that Jesus' comment refers to the "birth of spirit/birth from above" the disciples are soon to undergo. Such a birth opens up the patronage of God (entrance into the kingdom of God), according to 3:3. This, along with the fact that the focus of the relationship between believers and God has been on the benefits of that relationship for believers, could suggest the kinship relationship envisaged between God and the disciples denotes a fictive kinship/patron-client relationship. It seems unlikely that the Evangelist, who takes such pains to emphasize the gulf between Jesus and ordinary human beings, and Jesus' mediatorial role between God and believers, would allow the disciples to become true children of God in the sense that Jesus is the true Son of God. Though they are now allowed to share in a kinship "type" relationship with God,

---

<sup>117</sup> Tolmie (1997: 72).

because of Jesus' brokering of the spirit to them, the gulf between God and humanity still gapes.<sup>118</sup>

The Evangelist tells us in 20:19 that on the first day of the week the disciples are gathered behind locked doors for fear of the Ἰουδαῖοι. The note about locked doors should not be read as a device the Evangelist uses to accentuate the miraculous nature of Jesus' entrance, as some commentators suggest.<sup>119</sup> Open doors are the norm in the honor-conscious Mediterranean where closed doors imply hiddenness and shame. People in Mediterranean societies are expected to allow their neighbors access to the goings-on of their lives, so as to leave no room for suspicion. Open doors symbolize such access.<sup>120</sup> That the disciples cower behind closed doors, especially locked doors, would mean they behave dishonorably, in secrecy and with trepidation. It is into this context that Jesus appears among them and says, "Peace be with you" (20:19). Although "Shalom" was the conventional greeting among Israelite communities,<sup>121</sup> Jesus' greeting likely bears a special connotation here, for after showing the disciples his wounds Jesus repeats it: "Peace be with you" (20:21). Jesus' greeting recalls the peace promised the disciples in 14:27 (also 16:33) and assuages the disciples despite their dishonor in the world's eyes.

There is no reason to deduce that only the Twelve are present in this scene. The Evangelist states "the disciples" are present,<sup>122</sup> and it would be going beyond the evidence to suggest he means an elite group of disciples. This is not signaled in the narrative. The Evangelist highlights the joy of the disciples upon seeing Jesus: "the disciples rejoiced when they saw the Lord" (20:20). As James Swetnam<sup>123</sup> has noted, this phrase bears a striking resemblance to the phrase in 16:22: "I will see you again, and your hearts will rejoice," although the subject of the sentence is reversed. In 16:22 Jesus says *he* will see the disciples and they will rejoice, and in 20:20, the *disciples* see Jesus and rejoice. Both verses seem to recall Isa 66:14: "You shall see, and your heart shall rejoice." The Evangelist seems to deliberately change the sense of the phrase between 16:22 and 20:20 by changing the subject from Jesus to the disciples. Swetnam explains that this kind of deliberate change often signifies irony.<sup>124</sup> Due to

---

<sup>118</sup> This also seems to be Paul's perspective in 1 Thess 5:5 where he calls the Thessalonians "children of light" and "children of the day," without going so far as to call them "sons of God" or "children of God." Possibly Paul is being cautious not to blur the status of Jesus as Son of God (1 Thess 1:10). See also Esler (1997).

<sup>119</sup> Such as Lindars (1972) and Beasley-Murray (1987).

<sup>120</sup> Malina and Rohrbaugh (1992: 204).

<sup>121</sup> Barrett (1978: 568).

<sup>122</sup> In the Fourth Gospel, "the disciples" seems to denote all believers, not the Twelve. See Bultmann (1971), Barrett (1978), and Schnackenburg (1980/82, v.3). When the Evangelist wishes to denote the Twelve, he does so directly (6:67).

<sup>123</sup> Swetnam (1993).

<sup>124</sup> Swetnam (1993: 559).



Jesus' prediction in 16:22, "I will see you again, and your hearts will rejoice," the sensitive reader is privy to the deeper level of meaning of 20:20. The disciples ironically rejoice upon seeing Jesus, despite their lack of understanding. But the implied reader, recalling 16:22, realizes that Jesus is truly the one who "sees," and understands the fundamental reason for joy lies in Jesus' coming to give spirit to the disciples.<sup>125</sup> In other words, the disciples are overjoyed because they think their leader has come back to them, but the true occasion for rejoicing is that the *spirit* will be coming to them. Paul Duke's three aspects of irony are thus met in this passage: 1) the verse has a two-level meaning; 2) the true meaning of the expression is in opposition to the surface meaning: the disciples think they "see," but Jesus is really the one who "sees" the significance of his coming;<sup>126</sup> and 3) the true meaning of the expression is missed by certain characters. The true meaning of 20:20 is that the disciples are now "children of God," since the spirit has become available to them.

At 20:21 Jesus tells the disciples, "As the Father has sent me, so I send you" (see also 17:18). He then "breathes on them" and says, "Receive holy spirit." The characterization of Jesus as "the one sent from God" stands out starkly in John's Christology.<sup>127</sup> It is central to the Johannine concept of brokerage. We contend that in John Jesus is sent from God to broker the benefits of God's patronage, most importantly eternal life, to those who respond faithfully in the world. Our concern in this section is with his brokering of one particular benefit, the spirit. However, before we proceed with our treatment of the spirit passage at 20:22-23, this would be an appropriate point at which to discuss briefly the Johannine "sending motif" in relation to our model of patron-client relations.

In John's Gospel, God takes the initiative to send Jesus into the world in order to make God

---

<sup>125</sup> Swetnam (1993: 561).

<sup>126</sup> On the theme of "seeing" in John, see Hergenröder (1996).

<sup>127</sup> On the Johannine "sending" motif, see Miranda (1977), Bühner (1977), Anderson (1989), and Ashton (1991: 308-329).



known and to make available the benefits of God's patronage.<sup>128</sup> According to accounts of patron-client relations in the Mediterranean world, it is not unusual for a patron to take the initiative in seeking out clients, for it is thought to be presumptuous, and thus dishonorable, for a client to ask for a patron's help.<sup>129</sup> This belief is alluded to in Quintus Cicero's treatise to Marcus Cicero. Quintus reminds his brother, with reference to his campaign for the consulship, "...in the rest of your life you are not able to form friendships with whomsoever you please; for if you were at any other time [than during a campaign] to request men to form an intimacy with you, you would appear to be acting absurdly."<sup>130</sup> In a limited good society,<sup>131</sup> asking someone a favor involves imposing on them, attempting to attain something to which one may not be entitled.<sup>132</sup> This does not mean it is never done, as is evidenced by the number of people who came to Jesus asking for healing. But usually when a client approaches a patron for a favor he or she will come with a gift or do them a favor before making the request.<sup>133</sup> Often, however, the patron takes the initiative. In a limited good society, one's honor depends on one

<sup>128</sup> In his dissertation on John's sending formulae, Anderson (1989) finds that John's usage of "sending" reveals more of a Hebraic than non-Hebraic influence. In Hebraic sending formulae God, rather than a person, is much more frequently the one doing the sending (p.57, 167, 171). So in depicting Jesus as sent by God into the world, the Fourth Evangelist seems to be drawing on Hebraic traditions about God sending persons, often the prophets (ie Ex 5:22; 1 Sam 15:1; 2 Kgs 2:2; Tobit 14:4; Bar1:21), to his people. However, it will become apparent in this study that in John Jesus is often depicted as far superior to the heroes of Hebraic tradition, and as the only being who has been sent "from above," thus qualifying him to broker access to God. The Fourth Evangelist clearly knows of the Hebraic sending forms and seems to subvert them.

Anderson's linguistic analysis of "sending" in John, comparing the Johannine formulae with secular Greek literature, Israelite literature, and Early Christian literature shows John's usage to be distinct. Though the Gospel's usage evidences Hebraic influence in the depiction of God as sender, as well as in the possible derivation of the wording "ο πέμψας" from 1 Enoch (p.172), John's sending formulae are unique. Anderson concludes, "There is little in the Greek literature of the Jews to suggest that John followed any traditions of sending language" (p.171). He finds that in John, 15 of the 32 sending formulae emphasize not the activity of sending, but the likeness or identity between the sender and the sent. Seven formulae are related to the mission of Jesus, while others authenticate his mission or identify the authority of the sender (p.124). The emphasis of the sending motif in John therefore seems to be on the origin of Jesus from God, and his mission as God's true representative.

<sup>129</sup> Malina (1993: 98-99).

<sup>130</sup> Q. Cicero (1878: 492-493: *On Standing for the Consulship*: VII).

<sup>131</sup> On the image of limited good, see Foster (1965). To summarize, "limited good" is the belief, characteristic of peasant societies including those of the Mediterranean, that all the desired things in life, such as land, honor, wealth, health and love, exist in finite quantities and are always in short supply. Additionally, it is thought that it is not within one's power to increase the available quantities. Therefore, it follows that an individual or family can only improve their position at the expense of others (Foster [1965: 296-297]).

The limited good perception is evident in texts from the ancient Mediterranean world, such as a fragment of Iamblicus which comments on the limited nature of honor, "People do not find it pleasant to give honor to someone else, for they suppose that they themselves are being deprived of something" (in Diels [1935: 2.400]). In a similar vein, Plutarch writes, "As though commendation were money, he feels that he is robbing himself of every bit that he bestows on another" (*On Listening to Lectures* 44b: cited in Neyrey [1996: 118]). Compare Josephus *Life* 122-123 where Josephus tells of his rivalry with another general. The text makes clear that the rival perceived popularity and success as limited goods, and viewed Josephus' gains as his own personal losses.

The Fourth Gospel also evidences the cultural perception of limited good. John (ie the baptizer) clearly understands that Jesus' gain in popularity and honor constitutes his decline in the same: "He must increase, but I must decrease," John says (3:30). Yet in counter-cultural fashion, John accepts this fate willingly. On the other hand, the chief priests and the Pharisees seem to view Jesus as taking away their authority and honor by claiming to have those goods (ie 11:47-48).

<sup>132</sup> Foster (1965: 304).

<sup>133</sup> Campbell (1964: 234-235), Silverman (1967: 285) and Pitt-Rivers (1971: 203-204).

taking the initiative to share one's resources rather than hoard them.<sup>134</sup> The "powerful," or those who have covetable resources at their disposal, are expected to be givers, not merely receivers of life's limited goods.<sup>135</sup> Therefore, while it is considered dishonorable for a client to impose upon a patron by asking for favors, it is quite honorable behavior for a patron to seek out clients with whom to share his resources and influence.<sup>136</sup> The God who chooses a people to bless and protect is culturally appropriate in the Mediterranean world.

There also existed a special circumstance in which patrons would take the initiative to seek out their clients: when clients had become unruly or unfaithful. This sort of scenario is vividly sketched in the Parable of the Wicked Tenants (Mt 21:33-46; Mk 12:1-12; Lk 20:9-19). There a householder sends various servants to collect fruit from one of his vineyards, but the tenants on his vineyard, his clients, abuse his servants, even killing some of them. Consequently, he decides to send his son, assuming the tenants will treat his son more respectfully. He turns out to be mistaken, and his son is put to death as well. So Jesus asks: "What will the owner of the vineyard do then?" The audience explains he will go to his clients and destroy them. The parable depicts a situation where a patron takes the initiative to approach his clients, first through his brokers, and then on his own. The reason he does so is firstly to collect return-benefits from his clients, in this case the fruit of his vineyard. When his brokers are killed he sends his son as a broker, assuming his clients will respect his son. Perhaps we are to conclude the son is sent not so much to collect the fruit as to set things right with the unruly clients, to restore them to loyalty, though the story does not hint at what the patron intends his son to do.

The parable in the Synoptics implies that God has sent the Son to his unruly clients, who will end up rejecting and killing him. The parable implicitly depicts God as a patron taking the initiative to approach his clients, the Israelites. According to the parable, the son does not come to establish a patronal relationship with the clients, for that relationship has already been established. Likewise, the Israelites had long been clients of Yahweh, the ultimate patron. Rather the son is sent to rectify a situation in which the clients have rebelled and been unfaithful; the Israelites have breached their contract with God the patron. In the Gospel of John, the Son is also sent to his own (1:11), the Ἰουδαῖοι,

---

<sup>134</sup> In his *Epistles* 9:30 (1969), Pliny writes: "I should like to see the truly generous man giving to his country, neighbours, relatives, and friends, but by them I mean his friends without means; unlike the people who mostly bestow their gifts on those best able to make a return. Such persons do not seem to me to part with anything of their own, but use their gifts as baits to hook other people's possessions. Other smart characters rob one person to give to another, hoping their rapacity will bring them a reputation for generous giving. But the first essential is to be content with your own lot, the second to support and assist those you know to be most in need, embracing them all within the circle of your friendship."

<sup>135</sup> Bartchy (1991: 314).

<sup>136</sup> See Campbell (1964: 98-99).

to make God known (1:18), and presumably to bring these clients of God to loyalty. Unfortunately, God's clients reject him (1:11). But in coming to his own Jesus also makes the patronage of God available to "the world" (3:16) which includes those who had previously not been God's clients. The sending of the broker Jesus opens up the opportunity for some "out of the world" to be saved through him (3:17).

By telling the disciples he "sends" them in the same way he has been sent by the Father (20:21), Jesus establishes the disciples as subordinate brokers. The sending of the disciples in 20:22 is in conjunction with the bestowal of spirit which immediately follows. That Jesus breathed on the disciples as they received spirit from him bears significance. Several commentators agree<sup>137</sup> that the reference to Jesus breathing on the disciples alludes to Genesis 2:7 where God breathed the breath of life into the nostrils of the first man (See also Ezek 37:9; Wis 15:11). By drawing this connection between the creation of the first man and the bestowal of spirit upon believers, the Fourth Evangelist depicts the "pneumatizing" of the disciples as a sort of new creation. He portrays the disciples as experiencing the "rebirth" in spirit necessary for entrance into the kingdom of God (3:5). The rebirth of the disciples is made salient upon their receipt of spirit from Jesus and inaugurates their own mission as Jesus' subordinate brokers through spirit, for along with the conferring of spirit comes a commissioning of the disciples by Jesus.

Though a commissioning of the disciples upon the departure of Jesus marks the tradition underlying other Gospels (see Matthew and Luke), the Johannine commissioning coheres with the rest of John. However, because the business of forgiving "sins" is rarely mentioned in John, and because the phrasing of the disciples' commission in John closely parallels Mt 16:19 and 18:18, some scholars assert that the Evangelist has merely preserved his "source" untouched<sup>138</sup> and that the commission is aberrant within the Fourth Gospel.<sup>139</sup> This conclusion is unnecessary. Though the Evangelist seems to be drawing on tradition here, he has, as expected, worked the commissioning into his own thought. Jesus tells his disciples they are being sent as his subordinate brokers (20:21). Just as Jesus brokers access to God, so the disciples will broker access to Jesus through the work Jesus will give them, that of releasing and retaining sins (20:21-23). The wording "As the Father has sent me, so I send you" (v.21), manages to take the traditional commission and "Johann-ize" it.

The Evangelist may have used the traditional word "sins" in 20:23, rather than replacing it

---

<sup>137</sup> For example, Brown (1966/70, v.2), Lindars (1972), Barrett (1978), and Schulz (1983: 245).

<sup>138</sup> As does Lindars (1972: 611).

<sup>139</sup> Bultmann (1971: 690) for instance.

with the more Johannine “Sin,” because Jesus had already “taken away the sin of the world” on the cross. The disciples could not be commissioned to forgive “Sin” for Jesus had already accomplished that. Still, there will be those who reject Jesus and remain subject to the evil one (17:15), they will continue to serve a different patron than God. Though the “ruler of the world” is apparently exposed by Jesus’ death (12:31-32), his influence perdures. And obviously those serving the evil one will continue to sin, acting out of their disloyalty to God. Jesus’ subordinate brokers, then, are given the work of delineating who falls into this category. Their task is essentially “boundary maintenance.” If “Sin” denotes unbelief and the external manifestations of unbelief, then the releasing of sins involves the acknowledgment of belief. The disciples “forgive,” or release, sins by acknowledging certain people to be “believers in Jesus.” On the other hand, they retain sins by deeming certain people to be “unbelievers,” and probably by excluding them from Christian fellowship. Just as Jesus does not take away sin by extirpating the guilt accrued because of certain misdeeds, so the disciples do not forgive sins by absolving guilt. Sin releasing and retention in John would be a matter of delineating the difference between those who believe in, or live faithfully to, Jesus and those who do not. Thus the disciples are given the task of designating who is in and who is out of the Christian community. Whether the Evangelist perceives this role to be for select disciples, or whether he considers it a function of all the disciples, we cannot know. Since key disciples, such as the Twelve, are not singled out in this narrative, we would not be justified in concluding that the work of “forgiving and retaining sins” belongs to a certain group of elite disciples.

The spirit passages in 19:30 and 20:22 fulfill John’s declaration that Jesus would be the one to “baptize in holy spirit” (1:33). Spirit is made available by Jesus at the cross, and then is conferred by Jesus to the disciples after his resurrection. The importance of the disciples’ having spirit will become increasingly evident as we examine the meaning of spirit in the remainder of the Gospel. For now we note that in chapters 19 and 20 the disciples receive the status of children of God (20:17) at the same general time that spirit is released and then conferred to them. Their new status as possessors of spirit and children of God is accompanied by a commission to release and retain sins. This work involves delineating who is loyal to God in accepting Jesus and who is not, and extending fellowship only to those who prove faithful. In this sense, the disciples become subordinate brokers who provide access to Jesus and the benefits he brokers to those who appear to be worthy clients of Jesus. That they have the

spirit legitimates them as children of God and subordinate brokers to Jesus. However, the spirit does not primarily serve a legitimating role for the disciples as will be seen below. Rather, of first importance for them is the fact that the spirit opens up the possibility of their receiving the benefit of eternal life.

1.2. *Born of spirit (3:3-8); He gives the spirit without measure (3:31-36).*

1.2.1. John 3:3-8. "Spirit" appears again in John in the one of the most perplexing passages in the Gospel, in the conversation between Jesus and Nicodemus. In efforts to unscramble the meaning of their late-night tête-à-tête, scholars have found it crucial to understand the character of Nicodemus. Nicodemus is often thought to play a representative role in the narrative.<sup>140</sup> He is introduced as "an ἄνθρωπος (person) from the Pharisees," an unusual description, and as "a ruler of the Ἰουδαῖοι." Furthermore, he is said to have come to Jesus because of the signs Jesus did. These descriptions are telling, for preceding them we read that many people had believed in Jesus because of his signs, "but Jesus on his part would not entrust himself to them, because he knew all... for he himself knew what was ἐν τῷ ἀνθρώπῳ (in people)" (2:24-25). Therefore, from the outset of the narrative the Evangelist associates Nicodemus with those untrustworthy ἄνθρωποι who were attracted by Jesus' signs.<sup>141</sup> What is perhaps even more provocative is the reference to Nicodemus coming to Jesus at night in v.2, a point the Evangelist recalls to the reader's memory in 19:39 where Nicodemus bears the description of the one "who had at first come to Jesus by night." Nicodemus' companion at the burial of Jesus in 19:38-42, Joseph of Arimathea, earns the description: "a disciple of Jesus, though a secret one because of his fear of the Jews" (19:38). Neither of the men are described in glowing terms. Moreover, the two descriptions of the men could be saying much the same thing, that both kept their interest in Jesus a secret, since, in the case of Nicodemus, cover of night probably intimates secrecy and fear. One other bit of evidence supports this conclusion, the Evangelist describes Nicodemus as "a ruler" and connects him with the Pharisees, which could serve to link him with the rulers in 12:42 who "believed in [Jesus]. But because of the Pharisees...did not confess it for fear they would be put out of the synagogue." Nicodemus may also be implicated by the Pharisees' question in 7:48: "Has any one of the [rulers] or of the Pharisees believed...?" Whatever the relationship between the descriptions of Joseph and Nicodemus,

<sup>140</sup> Nicodemus has been said to represent "secret-believers" by Martyn (1979: 87) and Rensberger (1988: 57), while Goulder (1991) asserts he represents Jewish Christians. We hesitate to say that Nicodemus represents any sort of "Christian" or "believer" in John. He is treated as an outsider throughout the Gospel and does not confess faith in Jesus.

<sup>141</sup> Howard-Brook (1994: 87).



Nicodemus' portrayal as the one who came to Jesus by night could not be favorable. Night and darkness play a symbolic role in John's Gospel, symbolizing incredulity and judgment,<sup>142</sup> and the only other character in the Gospel directly associated with night is Judas Iscariot (13:30).

Still we must be cautious not to jump to a definitive conclusion about Nicodemus' status in the Gospel too quickly. Nicodemus proves anything but a black-or-white character. As Jouette Bassler concludes at the end of her sedulous analysis of Nicodemus in John,<sup>143</sup> the characterization of Nicodemus is fraught with ambiguity.<sup>144</sup> This ambiguity seems to be the author's intention, for if Nicodemus represents any group, it is one which cannot fully be characterized as disciples, but which is not tightly bound to "the world" either. It has one foot in and one foot out of the world.<sup>145</sup> Nevertheless, Nicodemus receives the kind of treatment due an outsider and remains an outsider to the end of the Gospel where he is depicted as "binding"<sup>146</sup> Jesus in burial clothes and loading him down with a ludicrous amount of burial spice (about one hundred pounds).<sup>147</sup> The copious myrrh and aloes with which he and Joseph wrap Jesus' body were used to counteract the stench of a decaying corpse.<sup>148</sup> This hyperbolic description of Nicodemus' burial activities leaves the reader with an unsatisfying portrait of Nicodemus as an undoubtedly reverent follower who has, nonetheless, no hope in Jesus as the "resurrection and the life."<sup>149</sup> And though the other disciples are confirmed at the end of the Gospel, this is the last word given on Nicodemus.

At the outset of the narrative, the Evangelist describes Nicodemus in collectivist terms

---

<sup>142</sup> Koester (1995: 47-48, 123-154) and Schwankl (1995). Baylis (1992: 216-219) finds that darkness signifies the absence of eternal life in the Fourth Gospel. See also Kieffer's 1987 article on the function of contrasting images, such as light and dark, in John.

<sup>143</sup> Bassler (1989).

<sup>144</sup> See Neyrey's (1996: 115-116) interpretation of Nicodemus' actions in 7:50-52.

<sup>145</sup> Bassler (1989: 645-646).

<sup>146</sup> See Sylva (1988) on the significance of the word "δέω" (to bind) in this and other narratives of the Fourth Gospel. Sylva shows that in John, "binding" is connected with the power of death, and writes, "By his use of δέω in 19:40 the author has Nicodemus and Joseph participate in the handing over of Jesus to the power of death. By shedding the garments in which he was wrapped, the resurrected Jesus dissociates himself from the action of Nicodemus and Joseph. These features support the interpretation of the abundant spices as manifesting a lack of understanding of Jesus' life beyond death" (p.149).

<sup>147</sup> Joseph and Nicodemus provide Jesus with the kind of burial given only to elites (Herodotus [1933: Book II, 86]). And the pile of spices they are said to use in wrapping Jesus is like the pile of spices used in the burial of renowned persons like Alexander the Great, whose burial is described thus: "First they prepared a coffin of the proper size for the body, made of hammered gold, and the space about the body they filled with spices such as could make the body sweet smelling and incorruptible" (Diodorus of Sicily [1947: Book XVIII, 26. 3-4]). Still, the inordinate amount of spices used by Joseph and Nicodemus is not to be interpreted as an indication of a proper and commendable "kingly burial." The men have failed to grasp that Jesus' kingdom is "not of this world" and strive to compensate for his mortality by covering up the smell of his decaying corpse. Such a gesture may honor an earthly king who has died, but is entirely inappropriate when directed at the one who is himself "the life."

<sup>148</sup> Brown (1966/70, v.1: 940). The fragrant oil of myrrh was used for embalming the dead (Miller [1969: 104-105, 108]) and along with aloe-wood, "the most valued of the aromatics imported from South-east Asia," counteracted the smell of a corrupting body (Miller [1969: 34, 41]).

<sup>149</sup> Meeks (1972: 55) and de Jonge (1977: 34).



indicative of the Mediterranean concept of personhood.<sup>150</sup> We learn about him not from a detailed character sketch describing his personal experiences and his hopes, fears, and motivations or, in other words, his psychological profile, for such a description would be entirely incongruent with the concept of the person in Mediterranean culture. The individual in Mediterranean societies is a “group-oriented” or collectivist person, a person who “need[s] others for any sort of meaningful existence, since the image such persons have of themselves has to be indistinguishable from the image held and presented to them by their significant others in the family, village, city, or nation.”<sup>151</sup> For a collectivist person, “self” finds determination in what significant others deem one and expect one to be. Accordingly, one can only formulate a view of one’s self in relation to others; one’s own psychology is fairly irrelevant. Because Mediterranean persons are group-oriented, they are in fact “known by the company they keep.” Such persons are “embedded” in groups of significant others, most importantly the family, and are rarely perceived as self-contained units.<sup>152</sup> A collectivist person will be referred to and perceived in terms of the qualities of his or her specific group or category.<sup>153</sup> For example, Pliny commends one man with the following “collectivist” description: “He is a native of Brixia... He is son to Minicius Macrinus, whose humble desires were satisfied with being first in the rank of the Equestrian order... His grandmother on the mother’s side is Serrana Procula, of Padua: you are no stranger to the manners of that place... Acilius, his uncle, is a man of singular gravity, wisdom, and integrity. In a word, you will find nothing throughout his family but what you would approve in your own.”<sup>154</sup>

Nicodemus is a good example of a collectivist personality. He is embedded in various groups and categorized accordingly. The Evangelist associates Nicodemus with the Pharisees and the rulers of the Ἰουδαῖοι, and the “rulers,” like Nicodemus, receive an ambiguous treatment in the Gospel (7:26, 48-52; 12:42). These group-orientations define Nicodemus to the reader and should inform our interpretation of the ensuing narrative. Space does not permit us to conduct a thorough study of the Pharisees or the rulers of the Ἰουδαῖοι.<sup>155</sup> For our purposes it will be helpful simply to discuss one dominant feature of both groups: the Pharisees and the rulers of the Ἰουδαῖοι were brokers.<sup>156</sup> The

---

<sup>150</sup> For a detailed discussion of collectivist, or “dyadic” personality, see Foster (1967), Landè (1977), and Malina (1993: 63-89).

<sup>151</sup> Malina (1993: 63).

<sup>152</sup> The Cynics would have been a notable exception, but they deviated from the norms of the culture. They could not be cited as evidence of “individualism” within ancient Mediterranean culture.

<sup>153</sup> Malina (1993: 69) and Foster (1967).

<sup>154</sup> Pliny, *Epistles*, 1: 14.

<sup>155</sup> Instead, see Saldarini (1988) and McLaren (1991).

<sup>156</sup> See Saldarini (1988: 154-156, 302), Yee (1989: 18-19).

Pharisees were brokers in the sense that they “had great influence in Jerusalem and so some control of who was accepted as a Jew in good standing and allowed into the assembly (synagogue)...the Pharisees were an established force in interpreting Jewish law and life.”<sup>157</sup> Pharisees in the Fourth Gospel fit this description. They mediate access to religious participation, and thus to right relationship with God, by either allowing or disallowing synagogue participation (9:13-23; 12:42-43). The role of the Pharisees in providing a means of access to God’s patronage (ie through law observance and participation in the synagogue) would have gained force after the destruction of the Temple, when the Jerusalem cultus no longer functioned as a viable broker.<sup>158</sup>

The rulers of the ἰουδαῖοι were brokers of another sort. “οἱ ἄρχοντες” (the rulers) is one term among many used to designate a group of influential non-priestly elites who were active in the decision-making processes of Palestine around the first-century C. E.. As James McLaren writes:

We have...a large number of terms used in the sources to describe the influential laity. The ‘first men’, ‘leading men’, ‘powerful men’, ‘elders’, ‘rulers’, ‘notable men’, ‘most powerful men’ and ‘the eminent/distinguished’... ‘the respected men’...refer to the same group of people. The variety of terms used probably refers to the specific author’s preference and changes in style.<sup>159</sup>

As already mentioned in Chapter One,<sup>160</sup> this group of influential non-priestly elites functioned as key broker figures in political decision-making processes at the turn of the era. They were important negotiators who sometimes mediated between the Israelite people and Rome, as in the case of the petition regarding the height of the Temple wall in which a small group are sent to Rome to present the Israelites’ case.<sup>161</sup> They also mediated between the Israelite people and their local leaders, as in the case where influential non-priestly elites resolve a dispute between Israelites and Greeks in Caesarea by wielding influence over the procurator, Florus.<sup>162</sup> The group of men referred to by the aforementioned terms were uniquely qualified for service as brokers because of their status among both the Israelites and the Romans.<sup>163</sup> They represented the interests of both sides. Since they were powerful and wealthy aristocrats, the Romans noted their utility in being capable of controlling the Israelite community. On the other hand, their influence among the people depended on whether or not

---

<sup>157</sup> Saldarini (1988: 197-198).

<sup>158</sup> Yee (1989: 18-19). Saldarini (1988: 196) comments that Pharisees were among the elders and leaders who embraced the task of leadership of the Israelite religion after the destruction of the Temple.

<sup>159</sup> McLaren (1991: 205).

<sup>160</sup> See Chapter One, § 2.3..

<sup>161</sup> See Josephus *Ant.* 20. 191, and McLaren (1991: 145-148).

<sup>162</sup> See Josephus *War* 2. 286, and McLaren (1991: 158-160).

<sup>163</sup> Yee claims this was true of the Pharisees as well (Yee [1989: 18]).

they represented popular interests.<sup>164</sup> Nicodemus is portrayed as one of these important broker figures in Palestine during the first century. By describing Nicodemus in collectivist terms as a Pharisee and ruler the Evangelist fashions a picture of a man attached to human means of brokerage. To quote Saldarini again, "The Pharisees, scribes, and Herodians, etc. ...probably functioned as unofficial patrons and brokers for the people and perceived Jesus as a threat to their power and influence."<sup>165</sup> It is from this perspective that we take a look at the conversation between Jesus and Nicodemus.

Throughout John, we find Jesus engaging in challenge and response with rival brokers, representative individuals, groups, or institutions who purport to facilitate access to God. In 3:1-22, we find such an instance of challenge and response. Nicodemus comes to Jesus calling him "ἀπὸ θεοῦ ἐλήλυθας διδάσκαλος" (a teacher who has come from God, 3:2), and commenting that he could not perform the signs he does "ἐὰν μὴ ἦ ὁ θεὸς μετ' αὐτοῦ" (unless God was with him). This is a positive challenge. And Nicodemus' loaded accolades set the stage for a long response from Jesus, fixed upon what it takes to see/enter the kingdom of God. What is the significance of Nicodemus' challenge which on the surface appears to be unrelated to Jesus' response? His response seems to indicate that Nicodemus' estimation of him is inadequate, and that Jesus is seizing the opportunity to instruct Nicodemus on matters of salvation. But what kind of challenge is implicit in the comments of Nicodemus? Elsewhere in the Gospel Jesus himself claims to be from God (8:42; 13:3; 16:28), and claims God is with him (8:29; 16:32). Moreover, in 7:16-17 Jesus talks about his teaching and claims his teaching comes from God, paralleling Nicodemus' words in 3:2 quite closely.

Jesus' words, however, are couched in the context of his claims to be the Son of God, to be "from above" and not of the world, and to speak the words of God. Within this context, it is correct to assert that Jesus is a teacher sent from God and that God is present with him. Nicodemus' words are not spoken in such a context though, and may betray underlying assumptions which make Nicodemus incapable of understanding the full import of Jesus. The Pharisees' words to the blind man in 9:28-30 could provide a clue to those assumptions: "Then they reviled him, saying, 'You are his disciple, but we are disciples of Moses. We know that God has spoken to Moses, but as for this man, we do not know where he comes from.'" This passage suggests that it was possible to speak of a prophet, here Moses, in terms of his having come from God. Nicodemus' words to Jesus may, therefore, reflect the belief that human prophets come from God, and may merely affirm Jesus' status as a prophet, wonder-worker, and

---

<sup>164</sup> McLaren (1991: 220).

<sup>165</sup> Saldarini (1988: 156).

teacher, without any acknowledgment of his status as the unique broker of God. Prophets and teachers, such as the Pharisees, were among the many broker figures in the Israelite religion who were relied upon to bridge the gaping divide between the Israelites and their God. Prophets brought the words of God to the ears of God's clients, and "teachers of Israel" actualized the mediating power of the Torah by interpreting it and teaching it to the Israelites. Nicodemus likely viewed Jesus on the level of these other earthly broker-figures, and may even have included himself in their number. Nicodemus calls Jesus a "teacher," but note that Jesus responds negatively to Nicodemus asking, "Are you the teacher of Israel, and yet you do not understand these things?" (3:10), implying that Nicodemus presumptuously ranked himself on the same level as Jesus. In his "positive challenge" to Jesus, Nicodemus challenges Jesus' significance, and this challenge instigates Jesus' speech.

In response to Nicodemus' failure to recognize him as more than a mere earthly broker, Jesus launches into a discourse which centers on the necessity of human beings to pass from the merely-earthly sphere into that of spirit before they can have eternal life. Firstly, Jesus responds, "Very truly, I tell you, no one can see the kingdom of God without being born from above" (3:3). The ineptitude of Nicodemus to rise above the earthly plane is accentuated by his responses to Jesus throughout the narrative. His inferiority when compared with Jesus, the broker sent "from above," is punctuated by his ignorance about things spiritual, or "heavenly" (3:12), and by the way his focus perpetually remains on the transitory realm. The use of "γεννηθῆναι ἄνωθεν," with its two possible meanings: born again or born from above, functions for the author to this effect.<sup>166</sup> Nicodemus, of course, chooses the "temporal" meaning, born again, and takes it as a reference to physical birth (3:4). This sets the stage for Jesus to stress that entrance into the kingdom of God requires a "spiritual birth." He rephrases his previous response, saying: "Very truly, I tell you, no one can enter the kingdom of God without being born of water and spirit" (3:5). Here the replacement of "born ἄνωθεν" with "born of water and spirit" qualifies the former, eliminating the possible meaning "born again," since "born of water and spirit" implies something more than a second physical birth, and makes clear that the type of birth Jesus intends is not attainable by human means. Nicodemus' question in 3:4, "How can anyone be born after having grown old?", and his dull comment about one entering a second time into one's mother's womb demonstrates that Nicodemus fixates on what *humans* need to do to accomplish birth ἄνωθεν. In response, Jesus clarifies that he speaks of a spiritual birth, something impossible to achieve by human

---

<sup>166</sup> Double-meanings and the misunderstandings they produce are a dominant feature of the Fourth Evangelist's style. For a detailed study of this feature in John, see Leroy (1968).

initiative.

Before moving on, we should discuss the significance of “water” in 3:5. Does “born of water and spirit” equal “born ἄνωθεν,” as if water and spirit are a unit? Or are water and spirit contrasted? Many commentators accept water and spirit as a unit, some noting that the two words are governed by a single preposition.<sup>167</sup> According to this view, water and spirit somehow interrelate. It is common among those who espouse this view for water to be seen as bearing spiritual significance, perhaps signifying baptism.<sup>168</sup> A further possible indication that water and spirit are related in 3:5 could be the fact that living water symbolizes spirit in 7:37-39 (cf. 19:34). However, in 7:37-39 living water is equated with spirit, and this is not the case in 3:5.

Water and spirit can also be viewed as contrasting, or as parallel but disconnected concepts. Specifically, water has been taken to symbolize natural birth, *in contrast to* spiritual birth.<sup>169</sup> We find this interpretation most convincing for three reasons. Firstly, the saying in 3:5 that one must be born of water and spirit in order to enter the kingdom of God immediately precedes a contrasting of fleshly birth and spiritual birth (3:6). Witherington contends 3:5 and 6 exemplify Semitic parallelism, where v.6 explicates what is implied in v.5.<sup>170</sup> Secondly, a key theme of Jesus’ speech to Nicodemus centers on the futility of human initiative to attain access to God’s kingdom, for “What is born of flesh is flesh, and what is born of spirit is spirit” (3:6). In other words, Jesus stresses that humans (those born of flesh) are unable to bring about spiritual birth. Therefore, a contrasting of natural birth with spiritual birth in 3:5 would coincide well with the overall theme of the discourse. The point of 3:5 would thus be: human birth is not enough to enable one to have access to God’s patronage, spiritual birth must

---

<sup>167</sup> See Brown (1966/70, v.1: 131) and Carson (1991: 193). We do not feel that the anarthrous nature of the phrase “of water and spirit” can be the litmus test of whether or not the phrase effects a unity or a contrast. In 1 John 5:6, “This is the one who came by water and blood, Jesus Christ, not with the water only but with the water and the blood,” the phrase “water and blood” (5:6a) is likewise anarthrous (ie both components of the phrase are governed by the preposition “δι’”), yet the phrase seems to express contrast rather than unity, especially in light of its context. In the verse “blood” implies something more than just water. The thrust of the overall verse expresses the need to acknowledge that Jesus came by blood *in addition to* water. The contrast between two viewpoints, one contending Jesus came only by water, the other contending Jesus came by water *and* blood, is clearly implied. Nevertheless, Brown (1982: 573, 578), being consistent, interprets “water and blood” in 1 Jn 5:6a as a unity and insists v.6a must refer to one composite event, that in 19:34 when “blood and water” flow from Jesus’ side. The majority of scholars do not accept this interpretation (see our Chapter 5).

<sup>168</sup> See Brown (1966/70, v.1: 142) and de la Potterie/Lyonnet (1971: 1-36), who see the baptismal motif as secondary and possibly later, as well as Bultmann (1971: 138-139, no.3) and Porsch (1974: 91-92), who view the words “water and” in v.5 as a later addition by the ecclesiastical redactor, as well as Dodd (1960: 309-311), Lindars (1972: 250-251), Schnackenburg (1980/82, v.1: 369), Blank (1981: 232), Schulz (1983: 56), Burge (1987: 168), Wijngaards (1988: 41), Howard-Brook (1994: 88), and Bergmeier (1995). Conversely, Johnston (1970:42) contends that “water” in 3:5 is not a reference to baptism.

<sup>169</sup> A view propounded by Strachan (1920: 93f.), Fowler (1970-71: 159), Spriggs (1973-74), Barrett (1978: 209), Pamment (1983: 189-90), and Witherington (1989, 1995: 97).

<sup>170</sup> Witherington (1989: 155).



accompany it.<sup>171</sup>

Lastly, the contrast between fleshly/physical birth and birth from above/of God is also presented in 1:13, in the Prologue. Now, the interpretation of water in 3:5 as a reference to natural birth has been countered with the argument that the phrase “of water” was not used to describe physical birth in ancient sources.<sup>172</sup> However, water is clearly a symbol for sexual relations at a few points in Song of Solomon and Proverbs (Song 4:13-15; Prov 5:15-18; 9:13-17). The contrast in John 1:13 is between spiritual birth resulting from the will of God as opposed to natural birth resulting from “the will of the flesh or the will of a man” (1:13). Both “the will of the flesh and the will of a man” could allude to sexual relations.<sup>173</sup> Therefore, it is possible that water is used as a symbol for sexual relations in 3:5 in order to effect the same sort of contrast that is found in 1:13. Further support for this suggestion lies in the fact that the Prologue of John and chapter three share many parallel themes.<sup>174</sup>

“Living” water symbolizes spirit at other points in the Gospel, specifically in 4:10-14, 7:39, and 19:34 (water that “flows” is “living water”<sup>175</sup>), while there exist several occurrences of water which are not symbolic. The fact that water contrasts with spirit in 3:5, though “living water” symbolizes spirit elsewhere, may indicate that in 3:5 water is a pun, a literary device commonly employed by the Fourth Evangelist. “Born ἄνωθεν” can mean “born from above,” the author’s intended meaning in 3:3, but it can also denote its opposite, a second physical birth (“born again”). Similarly, water has a double-meaning in this passage. While in one sense it can symbolize spirit as in 4:10-14, 7:39, and 19:34, in another sense water symbolizes the opposite of spiritual birth, specifically birth “of flesh,” or birth resulting from human sexual relations. As with all puns, water here has two meanings. But the issue is whether the hearer understands the *intended* meaning. In 3:3 the author intends “water” to symbolize a manner of birth which contrasts with spiritual birth, for the latter replaces the former as the prerequisite for entrance into God’s kingdom just as the water of purification contrasts with the abundant wine of the messianic age (2:1-11), and is replaced by it.

In 3:7-8 Jesus tells Nicodemus a word-play to illustrate the point he has made in 3:5-6 about the

---

<sup>171</sup> The contrasting of “fleshly” and “spiritual” birth may also lie behind John 9. In that chapter it is repeated that the blind man was “born blind,” yet he receives sight and becomes a believer in Jesus, thus becoming a candidate for “spiritual birth”. On the other hand, Jesus alludes to the “spiritual blindness” of the Pharisees (9:39-41), who are not receptive to Jesus and spiritual birth. See Schwankl (1995: 223-250).

<sup>172</sup> Carson (1991: 191). Witherington (1989: 155-158) counters this assumption, demonstrating from ancient sources that water, and especially the issuing forth from water, could indeed be used as a synonym for child birth. Specifically, the birth of a child issued from the rupturing of the pregnant woman’s “waters,” which in some ancient sources denoted the amniotic fluid.

<sup>173</sup> Malina and Rohrbaugh (1998: 33).

<sup>174</sup> See Dodd (1960: 305), as well as Neyrey’s helpful outline of those parallels in 1981: 125.

<sup>175</sup> Brown (1966/70, v.1: 170).



necessity of spiritual birth and the inability of human beings to attain it on their own:

Do not be astonished that I said to you, 'You must be born from above.' τὸ πνεῦμα (the wind/spirit) blows/breathes where it chooses, and you hear the sound/voice of it, but you do not know where it comes from or where it goes. So it is with everyone who is born ἐκ τοῦ πνεύματος (of the spirit).

The saying emphasizes the mysterious nature of the spirit. Like the wind, human knowledge cannot master and understand it, but can only experience its effects. So too, human beings cannot effect a spiritual birth, but can only experience it. Throughout this passage Jesus uses the plural "you," unlike in 3:3 and 3:5. Jesus therefore stresses "You people must be born from above," and "You people do not know where [the wind/spirit] comes from or where it goes."<sup>176</sup> The plural "you" here likely addresses the plural "we" in 3:2 where Nicodemus claims, "We know that you are a teacher who has come from God." Nicodemus speaks for his "group" (or groups), which includes the Pharisees and the rulers of Ἰουδαῖοι with whom he is associated. By addressing Nicodemus with the plural "you," Jesus asserts that the group(s) Nicodemus represents is incapable of understanding the origins of spiritual birth and, furthermore, is completely dependent on divine mediation to bring it about. The Pharisees and rulers may be "power brokers" when it comes to earthly matters, but when it comes to the spirit, they are powerless. Still, one concedes that this ineptitude characterizes all humanity, and not just Nicodemus' group. But when Nicodemus asks Jesus, "How can these things be?", Jesus replies with a negative response, "Are you a teacher of Israel, and yet you do not understand these things? ...We speak of what we know and testify to what we have seen; yet [you people] do not receive our testimony" (v.10-11). It is clear from this response that Jesus (or the Evangelist) is rather pointedly addressing a group of people represented by Nicodemus. They fail to understand even elementary truths about spiritual matters, and thus lack the ability to comprehend deeper truths (v.12).<sup>177</sup> This group stands against the "we" of v.10-11, the only verses in the Nicodemus discourse where Jesus speaks in the plural first person. Jesus is likely being made to speak for the Evangelist and his group here, effecting group differentiation between that group, who "know and testify" (21:24) to Jesus, and the group represented by Nicodemus which has not received them.

After completely discrediting Nicodemus and his group, Jesus begins a monologue on his own mission as broker of God, sent into the world to provide access to eternal life (3:13-21). This monologue

---

<sup>176</sup> For other examples of the polemical use of "to know," see John 1:26 and 9:24, 29-31.

<sup>177</sup> Most commentators interpret v.12 to indicate a contrast between rudimentary and deeper truths. The contrast is one of degree, such as with Paul's contrast between milk and solid food in 1 Cor 3:2, not one of nature. See Brown (1966/70, v.1: 132), Schnackenburg (1980/82, v.1: 378), and Witherington (1995: 98-99).

at first appears to follow quite unnaturally Jesus' discussion with Nicodemus. But they are integrally bound together. The Nicodemus narrative is one of many contests between brokers found in John, where Jesus comes up against other persons, groups, or institutions who purportedly provide access to the patronage of God. In 3:1-12 Jesus baffles Nicodemus and accuses his group of lacking understanding of spiritual matters. How can they broker access to God when they do not even realize that salvation, or entrance into the kingdom of God, requires divine mediation? If they do not even know that spiritual birth constitutes a prerequisite to salvation, how can they purport to be teachers of Israel (v.10)? The incompetence of these earthly brokers is underscored at just the right point, directly before Jesus delivers a discourse on his mission as God's broker. He alone qualifies to mediate access to God because he alone has descended from heaven (v.13).<sup>178</sup> Jesus already has the spirit remaining on him and is thus the only genuine representative of the divine realm. He is the unique Son of God, set apart and legitimated by the presence of the holy spirit (1:32-34), and sent into the world so that those who accept him might have access to eternal life through him (v.16). No human broker could fill this role.

In 3:1-12, Nicodemus is portrayed as a benighted man, seeking out Jesus, but finding him distant and incomprehensible. Nicodemus, as representative of all "earthly" brokers, cannot conceive of a spiritual birth that somehow lies out of human control. All such brokers are bested in challenge and response by Jesus as he is shown to be the only one suited to mediate between God and humanity.

At this point, now that we have a clearer view of its context within the Nicodemus narrative, we can attempt to ascertain the meaning and significance of "spirit" in our passage. Jesus' directive that one must be "born of spirit" in order to enter the kingdom of God proves intriguing. It means that spiritual birth somehow facilitates access to God's kingdom. One must become a person of spirit, rather than merely a person of flesh, before one can participate in the patronage of God. Apparently, spiritual birth qualifies one to receive the benefits of divine patronage, most importantly eternal life. In verses 16-21 of chapter three, we read that only by believing in Jesus, the one sent from God, can one gain eternal life. Therefore, it would seem that belief in Jesus results in spiritual birth, which opens up the possibility of entering God's kingdom and eternal life. The verses found at 1:12-13, which provide a possible parallel for 3:5, support this conclusion:

But to all who received [the Logos], who believed in his name, he gave power to become children of God, who were born, not of blood or of the will of the flesh or of the will of man, but of God.

---

<sup>178</sup> Grese (1988) also contends that 3:1-21 are tied together by the theme of Jesus as the only means of access to the heavenly realm, though we find unconvincing his hypothesis that the passage follows the pattern of "a manual for a heavenly journey" (p.679).

The possibility of being “born of God,” of becoming one of God’s children, mentioned here seems to correlate with the “born from above” and the “born of spirit” found in chapter three. And according to 1:12-13, it is only after one has believed in Jesus that such spiritual birth becomes a possibility.

Therefore, the birth of spirit that makes possible an entrance into God’s kingdom or birth into God’s family is contingent upon belief in Jesus. This is because Jesus brokers spirit to believers (1:33; 7:37-39; 15:26; 16:7; 20:22). So Jesus’ discourse in 3:13-21 expounds the meaning of his words to Nicodemus in 3:3-8, by explaining that only through belief in Jesus, the one sent from God, does spiritual birth become a possibility.

But what does spiritual birth really mean, and why is it pivotal? Essentially, “birth of spirit” implies being born into a new spiritual family, God’s family, and receiving a new “ascribed honor status.”<sup>179</sup> Within the Mediterranean cultural context one’s honor status carries utmost importance.<sup>180</sup> Honor is one’s socially recognized claim to worth. It can be “ascribed” by nature of one’s birth (honor as social precedence), appointment to office by an elite, or consecration for sacred tasks, as well as “acquired” (honor as virtue) through various honorable actions such as excellence in military, athletic, or artistic pursuits, or through the social contest of challenge and response. Non-elites tended to acquire honor via the latter means.<sup>181</sup> All families share a collective honor status, so to be born into an honorable family makes one honorable, whereas birth into a dishonorable family makes one dishonorable. Therefore, to be born into God’s family, or born of spirit, would result in one bearing the honor status of God, who is honorable indeed. The claim in 1:12-13 of John, that belief in Jesus will result in the believer becoming one of God’s children, means that Jesus’ followers will be ascribed the ultimate honor status. And according to 3:5 entrance into God’s kingdom demands no less. Only when one has been born of spirit, thus receiving an honor rating commensurate with divine birth, is one deemed worthy of the kingdom of God. Furthermore, a person’s ascribed honor functions as a sort of social map dictating proper social interaction with that person.<sup>182</sup> Consequently, a ramification of the Evangelist’s claim that believers in Jesus have become “children of God” would be that all those who treat them with contempt, as if they are of dishonorable origin, have widely missed the mark. For

---

<sup>179</sup> See Malina and Rohrbaugh (1998: 81-82, 88-89).

<sup>180</sup> For more on honor and its counterpart, shame, in the Mediterranean cultural context, see Peristiany (1965, 1976), Pitt-Rivers (1968, 1977), Schneider (1971), Friedrich (1977), Gilmore (1987), Peristiany and Pitt-Rivers (1987), Moxnes (1993), and Malina (1993: 28-62).

<sup>181</sup> Neyrey (1996: 117).

<sup>182</sup> Malina and Rohrbaugh (1992: 305).

while honor status must be socially recognized, certain figures, most importantly God, have the power to determine a person's honor status absolutely.

By emphasizing spiritual birth, or birth "from above," as the prerequisite to eternal life, the Evangelist is setting up a dualistic structure, contrasting the earthly sphere with the "God-sphere." Accordingly, Jesus contrasts himself with brokers who are merely "of the earth" and touts himself as the only effective mediator between God and God's clients because he is "from above." The Evangelist's dualistic structure presents Jesus as representative of the God-sphere. And in order for one to have eternal life, the ultimate benefit of God's patronage, one must believe in Jesus and thus become "born of spirit" passing from the merely-earthly sphere to the God-sphere, and receiving a new honor status as "child of God."

1.2.2. John 3:31-36. Many of the themes of the conversation/discourse in 3:3-21 are reiterated in 3:31-36.<sup>183</sup> This has led to various theories about the original placement of the latter in relation to the former.<sup>184</sup> For example, some scholars believe the two passages should be in succession, and have been interrupted by the placement of v.22-30 between them.<sup>185</sup> But as Dodd argues, the shifting of v.31-36 to follow v.21 raises as many problems as it solves.<sup>186</sup> It is reasonable then to attempt to explain the ordering of the passage as it stands. At issue, however, is whose voice one actually hears in v.31-36: the voice of Jesus, John the Baptist, or the Evangelist? If v.31-36 are a recapitulation of the conversation/discourse found in 3:3-21, the intended speaker could be Jesus or the Evangelist. For in 3:12-21, as in many parts of the Gospel, Jesus' speech may trail off into a monologue by the Evangelist.<sup>187</sup> On the other hand, if v.31 follows v.30, v.31-36 would logically be the words of John the Baptist.

For our purposes, it is not necessary to solve this complexity. The discourse in v.31-36 appears very similar to the style of speech ascribed to Jesus in other parts of the Gospel,<sup>188</sup> where the theology of the Evangelist no doubt comes through.<sup>189</sup> Whether the words in v.31-36 belong to Jesus, John the Baptist, or the Evangelist is less important for us than the fact that they cohere with the theology of

<sup>183</sup> See Dodd (1960: 308) and Brown (1966/70, v.1: 159-160).

<sup>184</sup> See Dodd (1960: 308-311), Brown (1966/70, v.1: 159-160), Bultmann (1971: 131-132), Barrett (1978: 219), Schnackenburg (1980/82, v.1: 360-363), Burge (1987: 81-83).

<sup>185</sup> Bultmann (1971: 131-132) and Porsch (1974: 89), compare Schulz (1983: 66). Blank (1981: 222) places vv.31-36 after 3:12.

<sup>186</sup> Dodd (1960: 308-309).

<sup>187</sup> As Dodd (1960: 308) notes, "It is doubtful how far it is possible, here or elsewhere in this gospel, to draw a clear line between reported dialogue or discourse and the evangelist's reflections."

<sup>188</sup> Brown (1966/70, v.1: 159).

<sup>189</sup> See Dodd (1960: 308).

the Evangelist as a whole.<sup>190</sup>

That vv.31-36 echo the main theme of the Nicodemus narrative/discourse, the incompetency of human brokers to mediate access to God and the unique ability of Jesus to do so, is apparent from the start:

The one who comes from above is above all; the one who is of the earth belongs to the earth and speaks about earthly things... [The one from above] testifies to what he has seen and heard... He whom God has sent speaks the words of God (v.31-34).

While earthly brokers speak about earthly things, Jesus, the divine broker, mediates access to the words of God (v. 34), and ultimately to life (6:63).<sup>191</sup> This passage and the verses following it constitute a fitting commentary on both the Nicodemus passage and the John passage which precede it.<sup>192</sup> Both Nicodemus and John are presented as earthly broker figures who are shown to be incapable of brokering access to God. The words in v.31 "The one who comes from above is above all" calls to mind each of these men whose character functions as a foil for Jesus. While they are merely "earthly," Jesus is "from God."

So the contrast between earthly brokers and Jesus again provides the context for a saying about the spirit. In v.34-35 we read: "He whom God has sent speaks the words of God, for he gives the spirit without measure. The Father loves the Son and has placed all things in his hands." The thrust of these verses centers on the total access to divine benefits which has been conferred to the Son. Because of God's love for Jesus, he has provided Jesus with all the benefits of God's patronage, thus making Jesus the only one able to broker those benefits to believers. But the meaning of "he gives the spirit without measure" in v.34b is not easy to discern. More pointedly, it is difficult to know whether God or Jesus is said to "give the spirit without measure." Since the phrase precedes: "[The Father] has placed all things in [the Son's] hands," it would seem logical that God is intended as the giver in v.34b. But the subject of v.34a is indubitably Jesus, and the subject does not seem to change in v.34b where the subject is simply called "he." Furthermore, gifts from the Father to the Son are as a rule expressed in the perfect (17 times) or aorist (8 times) tenses in John (with one exception being 6:37), not in the present as in v.34b.<sup>193</sup> Finally, if Jesus is the giver of spirit in v.34b, it would follow that his words constitute the

<sup>190</sup> The theories of Dodd (1960: 308-311) and Brown (1966/70, v.1: 159-160), that v.31-36 constitute an independent discourse of Jesus which was appended to the end of the Nicodemus and John the Baptist narratives as the Evangelist's own commentary on both, support this conclusion.

<sup>191</sup> At several points throughout the Gospel it is reported that Jesus brokers access to "what he has seen and heard from the Father" (3:11-12, 32; 8:26, 38, 40; 15:15), and that Jesus speaks God's words (3:34; 7:16; 8:28; 12:49-50; 17:8).

<sup>192</sup> As in the views of Dodd and Brown.

<sup>193</sup> Brown (1966/70, v.1: 158).



source of spirit: "He... speaks the words of God, for he gives the spirit without measure" (v.34). The association of Jesus' words with spirit also occurs at 6:63, and therefore might not be foreign within the Gospel.

Understandably, scholars are split as to the identity of the subject of "he gives the spirit without measure."<sup>194</sup> The meaning and significance of the phrase "without measure" may shed light on the issue. Raymond Brown<sup>195</sup> points out that one does not find "οὐκ ἐκ μέτρου (without measure)" anywhere else in Greek writings. Conversely, its antithetical parallel is common in rabbinic literature, and a saying of Rabbi Acha provides a striking parallel to the saying in John 3:34. The Rabbi says, "The Holy Spirit rested on the prophets by measure."<sup>196</sup> If a tradition similar to this lies behind John 3:34 and might have been known to the intended readers of the Gospel, then most likely the saying in v.34b depicts a contrast between Jesus, who has limitless access to spirit, and the prophets, whose access was restricted. Given that the context of the saying (v.31-36) as well as the narratives about John and Nicodemus which it follows all place Jesus in contrast to earthly brokers, such a contrast in v.34b would be fitting. According to this interpretation, God would be the subject of the v.34b, and Jesus the recipient of spirit. We concede one cannot know definitely whether the Evangelist knew of a tradition similar to that of Rabbi Acha. Still, the parallels between v.34b and the rabbinic tradition at least provide one more bit of evidence in support of the view that God is the giver of spirit "without measure" in v.34b.

Pertinent to this discussion is the notion of "reciprocity," which shapes most forms of exchange in peasant societies. Reciprocity characterizes the relationship between individuals in all sorts of exchange relationships. Forms of reciprocity include: 1) generalized reciprocity, 2) balanced reciprocity, and 3) negative reciprocity.<sup>197</sup> Generalized reciprocity, as noted previously, refers to the mode of exchange between close kin who are expected to share openly and graciously with one another, without expectation of reciprocation. Balanced reciprocity, on the other hand, befits exchange relationships between distant kin, fictive kin, and especially between patrons and clients. This mode of exchange demands that balanced or equal reciprocation be returned by someone whenever a benefit is conferred to him or her, though the benefits exchanged may be of a different nature. Finally, negative reciprocity characterizes relationships where one party receives benefits for which he or she does not

<sup>194</sup> For instance, Johnston (1970: 13-15), Bultmann (1971), Barrett (1978), Schnackenburg (1980/82, v.1), Blank (1981:244), and Burge (1987: 84) take God to be the subject, while Brown (1966/70, v.1) concludes it is not crucial to decide on either God or Jesus as subject, since both would make sense in the overall context of the Gospel. Porsch (1974) and Howard-Brook (1994: 98) espouse the view that Jesus is the subject.

<sup>195</sup> Brown (1966/70, v.1: 158).

<sup>196</sup> Brown's translation (1966: 158). Brown cites *Midrash Rabbah* on Lev 15:2.

<sup>197</sup> See Moxnes (1988: 34-35).



reciprocate. In such relationships, common between outsiders, one strives to “get something for nothing.”<sup>198</sup> The way Jesus’ relationship to the Father appears in 3:34-35 suggests that their relationship is one of generalized reciprocity between close kin members. This comes as no surprise to readers of the Gospel. But the important point being made in the overall context of the verses in the distinction between the Father’s relationship to Jesus and the relationship of God to others. It is implied that others receive the spirit, and probably other benefits, only “by measure.” The relationship of persons other than Jesus to the Father could therefore be characterized more as one of balanced reciprocity. The author implicitly distinguishes between the true kinship relationship of Jesus to the Father and the patronal, or fictive kinship, relationship of God to others.

Even if God constitutes the subject of v.34b, the role of Jesus as broker of spirit to believers, as the one who makes the spirit available to them (1:33; 7:37-39; 15:26; 16:7; 20:22), is not precluded. God gives full access to all things, including the spirit, to Jesus, but Jesus in turn confers the spirit to believers (20:22). Thus, in the end Jesus gives the spirit also, though nowhere do we read that believers are given *limitless* spirit. The point of this passage is the unique and pivotal position of Jesus as the one sent from God, with access to “all things,” and the necessity of belief in Jesus for salvation (v.36). The fact that Jesus’ “limitless spirit” is accentuated in this context, suggests that the spirit legitimates Jesus. It evidences Jesus’ origins in the God-sphere and thus his divine honor status. Though “no one accepts his testimony” (v.32), he still can claim to be the Son with access to all things from the Father, and the mediator of those benefits to believers. The spirit is a benefit that Jesus will broker to them from the Father. That Jesus will be the provider of spirit to believers can be viewed as of utmost importance by this point in the Gospel, for as we found earlier in John 3, spirit opens up the possibility of receiving eternal life.

1.3. *Worship in spirit and truth (4:21-24)*. John’s narrative featuring a woman of Samaria in dialogue with Jesus bears some likenesses to the Nicodemus account. Signally, both Nicodemus and the Samaritan woman engage in conversation with Jesus and misunderstand. But the relationship between the two characters is more marked by the contrast between them than by the similarity. They seem to

---

<sup>198</sup> Moxnes (1988: 34).

be juxtaposed in such a way as to highlight this contrast, as some scholars have noted.<sup>199</sup> We will discuss this point more fully below. First, however, we suggest that a connection between the Nicodemus narrative and that of the Samaritan woman lies in a common theme they share. We propose that two main questions are addressed in 4:4-25: 1) to whom is God's patronage available?, and 2) through whom or what is access to God's patronage mediated? The latter of these questions clearly features in the Nicodemus account, as we discussed above. And the answer to the first question emanates in part from the juxtapositioning of Nicodemus and the Samaritan woman. The Evangelist characterizes Nicodemus as a ruler of the Ἰουδαῖοι and a Pharisee, both descriptions grouping him with influential earthly brokers. In stark contrast to Nicodemus stands the Samaritan woman who represents all that is deemed marginal and estranged from God. Curiously though, Nicodemus appears baffled by Jesus and his confidence in human means of brokerage is shown to be foolish and futile, whereas the Samaritan woman draws closer and closer to faith throughout the narrative which culminates in the fruitfulness of her testimony about Jesus, namely the conversion of many Samaritans (v.39-42). Through the juxtapositioning of Nicodemus and the Samaritan woman the Evangelist challenges the axiomatic beliefs of his day about who could and could not expect to find God's patronage available to them.

Three factors contribute to the portrayal of the Samaritan woman as a marginal person.<sup>200</sup> Firstly, she is a woman who outsteps the boundaries ascribed to women in ancient Mediterranean culture, and thus behaves dishonorably. The first detail we read about the woman tells that she came to draw water at mid-day (4:6-7). This seemingly innocuous bit of information<sup>201</sup> actually sketches a picture of the woman coming alone to the well at a very unusual time, since women typically drew

---

<sup>199</sup> For example de Jonge (1977: 63-66), Pazdan (1987), and Carson (1991:216). Long and Vance (1993: 96) note the following contrasts between the two passages: 1) Nicodemus comes to Jesus at night, while Jesus meets the Samaritan woman at noon. 2) Nicodemus is a Jew, while she a Samaritan. 3) He is powerful and respected, while she is disreputable. 4) He comes to Jesus with the beginning of an understanding of Jesus' identity, while she is oblivious to Jesus' identity when he meets her. 5) After a misunderstanding he disappears silently and anonymously, while after a conversation that includes misunderstanding, she becomes a public witness. And 6) At the end of Nicodemus' conversation with Jesus, Jesus refers to those who do not come to the light, so that their deeds may not be exposed, while after her encounter with Jesus, the Samaritan woman speaks of the one who has drawn her by telling her everything she had ever done.

<sup>200</sup> In this section I am deeply indebted to Jerome Neyrey's (1994) culturally sensitive interpretation of John 4. See also Esler (1994: 32-33) for an interesting, if brief, social-scientific reading of the narrative.

<sup>201</sup> Several commentators (ie Bultmann [1971: 178], Lindars [1972: 179], Barrett [1978: 231], and Schnackenburg [1980/82, v.1: 424]) wrongly interpret the time reference as intended to explain Jesus' fatigue (v.6) and, presumably, his thirst.

water in the mornings and evenings in the company of other women.<sup>202</sup> By going to the well at this time the woman enters into public space, or male space. The ancient Mediterranean world was fairly strictly divided into two spheres, the public and the private, with the public sphere being the place for men and the private the place for women.<sup>203</sup> Female space encompassed the home and, at certain designated times, public areas associated with domestic responsibilities, such as public wells and ovens.<sup>204</sup> According to this arrangement, the social contact allowed women was almost entirely restricted to other women and related males. Male space, on the other hand, encompassed all areas of interaction between non-kin members, in other words all areas outside the home, with the exception of public wells and ovens during certain hours.<sup>205</sup> This construct is vividly outlined in ancient texts, of which the following text from Philo represents a well-known example:

Market-places and council-halls and law-courts and gatherings and meetings where a large number of people are assembled, and open-air life with full scope for discussion and action - all these are suitable to men both in war and in peace. The women are best suited to the indoor life which never strays from the house.<sup>206</sup>

The presence of the woman at the well at midday was enough to cast a shadow on her. But the fact that she engages in conversation with a non-related male while at the well confirms her status as “of questionable repute,” for it was considered shameful for a woman to have contact with men outside of the strictly circumscribed sphere of kinship and the home.<sup>207</sup> Hence the indignation of the disciples when they return and find Jesus “speaking with a woman” (v.27).

A second characteristic making the woman marginal is the fact she is a Samaritan. As such she is defined in collectivist terms in relation to all Samaritans, who were considered by the Ἰουδαῖοι to be

---

<sup>202</sup> Brown (1966/70, v.1: 169), Neyrey (1994: 82), and Malina and Rohrbaugh (1998: 98). In one present-day Mediterranean village women who go to wells unaccompanied by other women are suspected of seeking illicit sexual relationships with men they might meet at the well. Likewise, men who sit at wells when women are around are usually seeking sexual intercourse. But the wells used by this particular village are not village wells, but remote mountain springs, therefore, the scenario does not shed much light on the meeting at the village well in John 4, despite the similar cultural contexts (See Campbell [1964: 86]).

<sup>203</sup> With the only notable exceptions being among the relatively small number of elite women who, though making their presence more known in public, were still expected to be “seen and not heard” (MacMullen 1980: 216-218), among the women of Rome, who were allowed more freedom than other Mediterranean women (Osiek and Balch [1997: 59-60]), and among the poorest women, who were forced by economic necessity to disregard the cultural ideal of female domesticity in order to work in the public sphere (Dover 1974: 98). On the restricting of women to private space, see Torjesen (1993: esp. p.104f, 112f, 119f).

<sup>204</sup> A discussion of female and male “space” encompasses but is in no way limited to the reality of male and female living “quarters” within the home, though these were commonplace in Greek homes. The majority of homes in the ancient Mediterranean were probably one-room peasant dwellings where separate quarters for men and women were an impossibility. And in Rome, even the largest homes did not have separate quarters for women (Wallace-Hadrill [1994: 8-9]). Yet the relegation of women to the domestic or “private” sphere was part of a broad cultural ideal which transcended actual divisions of living quarters. See Plutarch (1928: *Moralia*, II: 30-32) and Elsthain (1981: esp. 14-54).

<sup>205</sup> Neyrey (1994: 79-82).

<sup>206</sup> Philo (1937: *De specialibus legibus*, Book III, 169 [p.581]).

<sup>207</sup> Torjesen (1993: 119).

“a mixed race of semi-pagans.”<sup>208</sup> Relations between the Ἰουδαῖοι and Samaritans had been particularly antagonistic since the time of John Hyrcanus (135-104 B. C. E.) who conquered Shechem and destroyed the Samaritan temple on Mt. Gerizim. It was not uncommon for violent episodes to erupt between the two groups.<sup>209</sup> Moreover, according to Pharisaic purity laws in force at the time of John’s composition, Samaritan women were reckoned perpetually unclean.<sup>210</sup> So as a Samaritan, the woman represented an enemy of the “true people of God,” and as a Samaritan *woman*, she represented unmitigated ritual impurity. Her assumed alienation from Jesus, and from the Ἰουδαῖοι with whom he was identified, finds expression in her question addressed to Jesus: “How is it that you, an Ἰουδαῖος, ask a drink of me, a woman of Samaria?” (v.9). Her shock betrays her knowledge of the customs which disallowed Ἰουδαῖοι to “συγχρῶνται (use [vessels] in common with)”<sup>211</sup> Samaritans, a custom the Evangelist draws to the attention of the reader (v.9).

Finally, the Samaritan woman is portrayed as a marginal character within the narrative because she is sexually dishonorable.<sup>212</sup> The narrative brings out that she has had five husbands, and that the “husband” she has now is not her own, which would suggest her present relationship is either one of adultery or concubinage.<sup>213</sup> This scenario innately spells dishonor. To begin with, Ἰουδαῖοι considered it illicit for one to marry more than three times.<sup>214</sup> Furthermore, Mediterranean culture considered the honor of divorced or widowed women to be precarious since they were often no longer embedded within the honor of some male. In Mediterranean culture, the honor of a woman, namely her sexual purity and exclusiveness, is embedded within the honor of the significant males in her life, specifically her father, brothers, and/or husband. Males bear the responsibility to maintain and protect the honor of their embedded females, while at the same time it is considered honorable for women to exhibit restraint, timidity, and positive shame. The honor of a woman not embedded in a male lacks the protective covering of a significant male and is thought to be constantly under threat.<sup>215</sup>

<sup>208</sup> Schnackenburg (1980/82, v.1: 425).

<sup>209</sup> Schnackenburg (1980/82, v.1: 425).

<sup>210</sup> Barrett (1978: 232) cites *Niddah* 4.1 (65 or 66 C. E.): “the daughters of the Samaritans are menstruants from their cradle.”

<sup>211</sup> This translation of συγχρῶνται is accepted by many commentators, including Brown (1966/70, v.1), Barrett (1978), and Carson (1991). But the other possible meaning of the word, “to have dealings with” would likewise express the alienation intended by the statement.

<sup>212</sup> On the notion of sexuality in John 4, see Schottroff (1998).

<sup>213</sup> Neyrey (1994: 82). Barrett [1978: 235] and Brown [1966/1970, v.1: 171] accept, however tenuously, the ancient allegorical interpretation that this talk of “husbands” really refers to the false gods of the Samaritans, though many do not (ie Bultmann [1971: 138], Schnackenburg [1980/82, v.1: 433], and Beasley-Murray [1987: 61]). Whatever the likelihood of this second level of meaning, it is significant that at the level of the narrative, the woman is depicted as sexually dishonorable.

<sup>214</sup> Schnackenburg (1980/82, v.1: 433) and Barrett (1978: 235).

<sup>215</sup> See Malina (1993: 50-53).

The precarious nature of the Samaritan woman's honor receives confirmation in the fact that her sexual purity stands compromised by her involvement with her current "husband" who is not her own. The significance of the woman's dishonorable sexual history to her characterization is emphasized by repeated mentions of it throughout the narrative (4:17-18, 29, 39).

All in all, the Samaritan woman was, according to her culture and social context, marginalized on the basis of her gender, ethnicity, ritual impurity, and moral conduct. Precisely because of this characterization, Jesus' words to her about the abundant availability of living water and the imminent possibility of true worship of God resonate as radical.

The dialogue between Jesus and the Samaritan woman at first centers on his ability to give her living water which will never leave her thirsty (v.10-15).<sup>216</sup> In v.10 Jesus tells her " 'If you knew the gift of God , and who it is that is saying to you, 'Give me a drink,' you would have asked him, and he would have given you living water.'" Much like Nicodemus in 3:4, the Samaritan woman misunderstands what Jesus says and interprets his words to be about things concrete and earthly. Since "living water" could mean running or flowing water as opposed to still,<sup>217</sup> she thinks Jesus is purporting to have access to a well superior to the still-water well given to her people by the patriarch Jacob. So she asks Jesus, "Are you greater than our ancestor Jacob?" (v.12), a question mirroring that of the Ἰουδαῖοι in 8:53, "Are you greater than our father Abraham?"<sup>218</sup> Both questions have a penetratingly ironical tone. The informed reader of the Gospel knows that Jesus is indeed greater than the patriarchs, for as one reads in 3:31: "The one who comes from above is above all; the one who is of the earth belongs to the earth and speaks about earthly things. The one who comes from heaven is above all." Jacob may have provided the woman and her people with a well, but Jesus, as the one who has access to all things from the Father (3:35), can provide water which "will become in them a spring of water [ἀλλομένου "leaping up"] to eternal life" (v.14). Jacob's gift is earthly; Jesus' gift is "from above." That the contrast between Jesus and Jacob is pivotal to the narrative becomes apparent early in the story when the location of the well receives detailed description,<sup>219</sup> signaling to the reader the importance that the well had been given by Jacob, as well as in the Samaritan woman's ironic remark:

---

<sup>216</sup> See Sandelin (1987) on the parallels between Jesus' words on living water here and the portrayal of Wisdom in Israelite tradition. Sandelin concludes that Jesus is characterized in John 4 as belittling Wisdom, the drink which cannot quench one's thirst (Sir 24:21).

<sup>217</sup> Brown (1966/70, v.1: 170).

<sup>218</sup> For a study on the theme of Abraham in John 8, see Lona (1976).

<sup>219</sup> Botha (1991: 107) notes this is "the first time that the exact location of any action in the Gospel narrative is described in such detail."



“Are you greater than our ancestor Jacob?” (v.12).<sup>220</sup>

Generally the living water<sup>221</sup> which Jesus gives is interpreted as, primarily, a metaphor for spirit.<sup>222</sup> The connections between spirit and life/living water are salient in John’s Gospel. In 6:63 Jesus tells the disciples that it is the spirit which gives life. And in 7:38-39 he promises to give believers “living water,” meaning spirit. Moreover, we will recall from our discussion of 3:5 that “birth of spirit” opens up the possibility of receiving the eternal life available through Jesus. Finally, we have argued that the water flowing from Jesus side in 19:34 symbolizes spirit. Since “living water” can have the meaning of flowing water as opposed to still, the water coming out of Jesus’ side seems to coincide with other symbolic uses of “living water” in John. Minor support for the interpretation of “living water” as spirit may be found in the fact that the verb “ἄλλομαι,” used in Jn 4:14 (“a spring of water [ἄλλομένου “leaping up”] to eternal life”), is also used in LXX to describe the action of the spirit of God “leaping upon” Samson, Saul, and David, though the connection may be tenuous.<sup>223</sup> All in all, we conclude that the living water Jesus offers symbolizes spirit. Jesus is greater than Jacob because his gift is heavenly. It is the gift of spiritual birth. Furthermore, in portraying Jesus as the source of living water/spirit, the Evangelist once again casts Jesus as the new Temple (see 2:21), since the Temple was to be the source of a great effusion of spirit in the last days (see our discussion in §1.5.).

The spirit constitutes the “living” water which Jesus will provide. *This living water is not life itself, but the water which leads to eternal life (4:14). Just as literal water is not in itself life, but is a precondition to life, so the living water Jesus provides constitutes a precondition to eternal life.* Likewise, having the spirit, or being “born of spirit” does not equal eternal life, rather it allows access to the kingdom of God, or eternal life (3:5). Drinking of living water involves passing from the merely earthly realm into the God realm by being “born of spirit,” and thus becoming one of God’s children. As we found in our discussion of chapter three, where eternal life and spiritual birth are integrally related concepts, so here, where one reads that living water/spirit will become “a spring of water gushing up to eternal life” (4:14), we find that spirit denotes the life-producing water which Jesus makes available. This living water/spirit Jesus brokers opens up the possibility of entrance into the realm of God and

---

<sup>220</sup> Boers (1988: 155-156).

<sup>221</sup> See Hahn (1977) for a study of the concept of “living water” in John and its origins.

<sup>222</sup> For example, Johnston (1970: 21-22), Barrett (1978: 233-234), Schnackenburg (1980/81, v.1: 431-32), and Beasley-Murray (1987: 60).

<sup>223</sup> Brown (1966/70, v.1: 171). Furthermore, “water” or the action of “pouring out” is occasionally used as a metaphor for spirit in the OT (Isa 44:3; Joel 2:28-29), though it is used as a metaphor for many “goods,” particularly Wisdom, and Torah or “Word,” in the Hebrew scriptures (See Brown [1966/70, v.1: 176], Bultmann [1971: 182-83, n.4], and Porsch [1974: 62-64]).



eternal life by allowing believers a new ascribed honor status as children of God.

Despite Jesus' explicit claim to provide a sort of water unlike any earthly substance (v.13-14), the woman's obtuseness persists (v.15). In reaction to this Jesus abruptly changes the subject and discloses superhuman knowledge of the woman's life history (v.16-18). Some commentators believe that the intention of this detour is to allow Jesus to point the woman's attention to his divine status<sup>224</sup> as a way of raising her sights above the concrete level of wells and drinking water. If this is Jesus' intention, he appears to be relatively successful, for the woman appears so impressed with his insight that she proclaims him to be a prophet (v.19). At this juncture the parallels between Nicodemus and the Samaritan woman diverge. Her misunderstanding begins to give way to insight, but only begins. Jesus is much more than an earthly prophet who has been given spirit "by measure," but at least her scope is broadening.

The woman's new-found confidence in Jesus' prophetic insight compels her to raise for discussion the most pressing issue known to Samaritans: whether God was to be worshiped in Jerusalem or on Mt. Gerizim (v.20). The issue was one of brokerage, and is integrally related to the portrayal of Jesus as giver of living water, or spirit, in this passage. The Ἰουδαῖοι believed that access to the benefits of God's patronage were mediated through temple worship in Jerusalem, and as mentioned above, that the spirit would abundantly flow from the Temple in the end time. Samaritans believed God's patronage was brokered through the temple at Gerizim, though it had been burned by the Judean high priest, John Hyrcanus, in 128 B. C. E..<sup>225</sup> Samaritans nonetheless continued worshiping on Mt. Gerizim and refused to make pilgrimages to Jerusalem.<sup>226</sup> At issue in the debate about the place of worship was who really had access to the benefits of God's patronage, in particular, God's spirit.

Jesus responds:

'Woman, believe me, the hour is coming when you [plural] will worship the Father neither on this mountain nor in Jerusalem. ...the hour is coming, and is now here, when the true worshipers will worship the Father in spirit and truth, for the Father seeks such as these to worship him. God is spirit, and those who worship him must worship in spirit and truth' (v.21-24).

Jesus' answer to the woman firstly dispels the notion that true worship of God can be mediated by the earthly means of temple worship (v.21).<sup>227</sup> Allusion to this idea also appears in chapter 2 where Jesus

<sup>224</sup> Bultmann (1971: 187), Schnackenburg (1980/82, v.1: 432), and Botha (1991: 142-143).

<sup>225</sup> Brown (1966/70, v.1: 170) and Schnackenburg (1980/82, v.1: 425).

<sup>226</sup> Schnackenburg (1980/82, v.1: 434-435).

<sup>227</sup> Regarding the Johannine perspective on "Temple," refer to Frühwald-König (1998: esp. p.107-138 on John 4), as well as Lieu (1999) who takes a different view than the one adopted here.

implicitly claims to replace the temple (2:19-21). His saying “the hour is coming” in 4:21 must be read in conjunction with “and is now here” in v.23. This time construct, understood according to the Mediterranean concept of time, denotes a present event along with its eventual outcomes.<sup>228</sup> The present event denotes the coming of Jesus; the forthcoming consequences of that event include the conferring of spirit (20:22) and the possibility of spiritual birth. Jesus claims that now true worship of God, via spirit and truth,<sup>229</sup> has become a possibility for all who accept God’s broker from above. Furthermore, he implies that the Samaritan woman’s group will soon worship in this way (προσκυνήσετε “you people will worship” v.21). The plural “you” in v.21-22 likely refers to those people represented by the Samaritan woman, who are firstly Samaritans, but probably also those deemed marginal like herself. True worship in spirit and truth is available to all who believe in the one who provides access to the “living water” of spirit, and is not demarcated along ethnic, gender, or purity lines.

As most commentators agree, worship in spirit and truth is not a matter of “inward worship”<sup>230</sup> as opposed to cultic worship.<sup>231</sup> The contrast between temple worship and worship in spirit and truth relates to the contrast between the one who is “of the earth” and the one who is “from above” in 3:31. Jesus once again contrasts the earthly-realm with the realm of God. Worshiping “in spirit and truth” denotes worshiping as those whose status is “born of God,” or worshiping as those who are of the God-realm and not the earthly-realm. For God is “spirit” (v.24) and can therefore not be worshipped in ways that are merely earthly. God is like the wind/spirit in the parable at 3:8: invisible and unknowable by human knowledge. Only those who have passed from the human, earthly-realm to the realm of God are capable of worshiping “truly.” Only those with an honor status commensurate with divine birth are deemed “true worshipers.” The phrase “worship in spirit and truth” should be interpreted in the light of 3:5. Such worship distinguishes those who have become a part of God’s kin group.

As our narrative progresses, we find that the Samaritan woman and her group are indeed brought into Jesus’ “fictive kin” group. Therefore, Jesus’ prediction that the Samaritan woman’s group

<sup>228</sup> Refer to our discussion of Mediterranean notions of time in §1.1.2. of this chapter.

<sup>229</sup> “Truth” in John’s Gospel primarily denotes that which is revealed by Jesus (Barrett [1978: 167], Schnackenburg [1980/82, v.2: 236-237]). Though we necessarily focus our attention more on the component of spirit in the phrase “spirit and truth,” we acknowledge the importance of truth as a separate concept in the theology of the Evangelist. For more on “truth” in John, see Kuyper (1964), Ibuki (1972), de la Potterie (1986) and Schnackenburg (1980/82, v.2: 225-237). To worship as those “of spirit,” as members of God’s family, is to worship God “in truth,” in accordance with God’s truth as revealed by Jesus. Likewise, to worship in truth is to worship as those who have undergone a spiritual birth. The distinction between the concepts “spirit” and “truth” are therefore not a pressing issue for our exegesis.

<sup>230</sup> Contrary to Johnston (1970: 45).

<sup>231</sup> Brown (1966/70, v.1: 180), Bultmann (1971: 190), Schnackenburg (1980/82, v.1: 437), Blank (1981: 298), Schulz (1983: 76), and Burge (1987: 193).

would soon worship “in spirit and truth” (v.21-23), or in a way appropriate for members of God’s family, proves warranted. The conversation between Jesus and the Samaritan woman progresses from being a socially suspect exchange between an unrelated male and female in public space to an intimate, “private,” conversation between Jesus and a disciple, or a member of his fictive kin group.<sup>232</sup> Jesus’ words about true worship motivate the Samaritan woman to raise the critical issue of the coming Messiah who “will proclaim all things” (cf. “all things” in 3:35).<sup>233</sup> Unlike Nicodemus whose incompetent responses to Jesus quickly trail off into silence, the Samaritan woman initiates dialogue with Jesus and reacts imploringly to his revelations of superhuman knowledge, providing opportunity for Jesus to draw her to greater depths of understanding. Their conversation concludes with Jesus disclosing to her his identity as the Messiah, in the form of an absolute “I am” statement (v.26). This is the first occurrence of the “I am” formula in the Gospel and the absence of a predicate in this instance functions to recall the utterance of the divine name in the Old Testament (Ex 3:14; Isa 43:10-11, 25; 51:12).<sup>234</sup> Jesus reveals to the woman his divine identity. She has been brought into the circle of Jesus’ disciples and shares a privileged, if inchoate, knowledge of who he is. Still not completely grasping the magnitude of Jesus’ claim (see v.29), the woman rushes off to the city to tell her people about Jesus and to bring them to him. Her testimony facilitates the belief of many Samaritans, resulting in their becoming a part of Jesus’ fictive kin group as well and foreshadowing their “birth of spirit” which will make them true worshipers in “spirit and truth.” She initiates the harvest (of Samaritan followers) which the disciples are called to reap (4:35-38).<sup>235</sup> The narrative closes with this marginalized group of people giving voice to the most exemplary confession in the Gospel thus far: “this is truly the Savior of the world” (v.42). Although, as Jesus states in v.22, “salvation is from the Ἰουδαῖοι,” certainly meaning Jesus himself is “from the Ἰουδαῖοι” since Jesus is curiously called an Ἰουδαῖος in our passage (see 4:9), that salvation, the ultimate benefit of God’s patronage, is made available to all the world.<sup>236</sup>

1.4. *The spirit is life, the flesh counts for nothing (6:60-63).* The next spirit passage in John follows the long “Bread of Life” discourse which centers on Jesus’ exhortation to work for “the food that endures

<sup>232</sup> Neyrey (1994: 87).

<sup>233</sup> Frühwald-König (1998: 137).

<sup>234</sup> See Ball (1996: 177-203).

<sup>235</sup> See Seim (1987: 67-70).

<sup>236</sup> Koester (1990) presents a strong case that the title “Savior of the world” was used specifically for emperors and had clear imperial associations. That the Samaritans use the title for Jesus shows that they recognize Jesus’ transcendence of national boundaries and messianic expectations. The Samaritans, more than anyone else in the the Gospel, are depicted as understanding the worldwide dominion of Jesus.

to eternal life" (6:27). Obviously, we are unable to canvass the full range of themes that are touched upon in this complex discourse which in itself merits monograph treatment.<sup>237</sup> And we will proceed with our analysis assuming the entire discourse, which ostensibly begins at 6:27 and ends at 6:58, constitutes an integrated and unified whole, despite the fact some scholars view verses 51c-58 as later redaction.<sup>238</sup> The arguments in favor of a unified discourse are very strong, as effectively demonstrated by Peter Borgen and others.<sup>239</sup> Common themes, terms, and expressions solidly bind the two sections of the discourse, even if a new theme, namely the linking of the "bread of life" with Jesus' flesh and life-giving death, is introduced at v.51c.

The entire "Bread of Life" discourse provides the context of Jesus' words on spirit in 6:63, and must delimit our interpretation of them. Accordingly, we begin our study of 6:63 by summarizing that discourse and highlighting its main themes. Essentially, John 6:27-63 poses a dichotomy, one between "perishing bread" and life-producing "bread," that is consonant with the dualistic perspective of the overall Gospel. The contrast constructed in chapter six is basically the same as that posed in the sections of John we have already studied: a contrast between what is representative of the earthly realm and what is representative of the God-realm, and parallels closely the contrast in John 4 between living water and the unsatisfying water provided by Jacob.<sup>240</sup> Throughout the Gospel, the assertion of Jesus' divine origins and unique ability to provide access to the benefits of God's patronage against the inadequacy of human attempts to access those benefits, sharply accentuates the distinction between the two realms. The Evangelist adopts this same strategy in chapter six. Here again the chief benefit to which Jesus provides access is eternal life (6:27, 35, 40, 47, 50-51, 54, 57-58).

The conversations and mini-discourses which comprise the larger discourse of 6:27-58 transpire in a Capernaum synagogue between Jesus and a group of hungry followers looking for another free meal. Jesus begins the discourse by telling the crowd not to "work for the food that perishes, but for the food that endures for eternal life, which the Son of Man will give you. For it is on [this one] that God the Father has set his seal" (v.27). This verse insinuates a contrast not only between food which perishes and that which endures, but more importantly between the Son of Man and other givers of "food." The last sentence, which emphatically states that it is "*this one*" (the Son of Man) who has the "seal" of the Father, anticipates further explanation about those who do *not* have that legitimation. Indeed,

<sup>237</sup> For an extensive study of John 6 and the Bread of Life Discourse, see Anderson (1996).

<sup>238</sup> For example Brown (1966/70, v.1) and Bultmann (1971).

<sup>239</sup> Borgen (1959, 1965), Barrett (1978), Painter (1989), Menken (1993a), and Anderson (1996).

<sup>240</sup> See Howard-Brook's (1994:141) chart of parallels between John 4 and 6.

this information follows shortly. In v.32 we discover that Moses is among those being contrasted with the Son of Man. In fact the contrasting of Moses and Jesus, and the types of “food” they gave/give, is the skeleton upon which the entire discourse hangs. The following verses demonstrate how the debates and discourses in 6:27-58 turn on this issue:

v.30-35b: ... “What sign are you going to give us then that we might see it and believe you? Our ancestors ate the manna in the wilderness; as it is written, ‘He gave them bread from heaven to eat.’” Then Jesus said to them, “Very truly, I tell you, it was not Moses who gave you the bread from heaven, but it is my Father who gives you the true bread from heaven. For the bread of God is that which comes down from heaven and gives life to the world.” They said to him, “Sir, give us this bread always.” Jesus said to them, “I am the bread of life.”

v.41: Then the Jews began to complain about him because he said, “I am the bread that came down from heaven.” They were saying, “Is not this Jesus, the son of Joseph, whose father and mother we know? How can he now say, ‘I have come down from heaven?’”

v.45-46: [Jesus:] “It is written in the prophets, ‘And they shall all be taught by God.’<sup>241</sup> Everyone who has heard and learned from the Father comes to me. Not that anyone [ie even Moses!] has seen the Father except the one who is from God; he has seen the Father.”

v.49-51a: “Your ancestors ate the manna in the wilderness and they died. This is the bread that comes down from heaven, so that one may eat of it and not die. I am the living bread that came down from heaven.”

v.52: The Jews then disputed among themselves, saying, “How can this man give us flesh to eat?”<sup>242</sup> [probably echoing Exodus 16:8]

v.58: “This [ie Jesus’ flesh and blood given in death] is the bread that came down from heaven, not like that which your ancestors ate, and they died. But the one who eats this bread will live forever.”

The pivotal theme of the entire discourse centers on Jesus’ ability to provide life-giving bread unlike the bread the group’s ancestors ate and “they died,” along with the theme of Jesus’ authority to give “bread from heaven” because he “came down from heaven.” Both of the “complaints” raised by the Ἰουδαῖοι in the above verses deal with Jesus’ qualifications to provide “bread from heaven”: how can he do so if he is the son of Joseph? (v.42), or how can he give us flesh to eat like that which was given to our ancestors? (v.52). This latter complaint exemplifies Johannine irony. The Ἰουδαῖοι misconstrue Jesus’ statement in v.51 about giving *his* flesh, thinking he claims to be able to give them all meat to eat. They fail to comprehend Jesus’ statement about his life-giving death.

John 6:27-58 portrays another contest of brokers. In this discourse, which some scholars believe

<sup>241</sup> From Isa 54:13, and an explicit allusion to the Torah, the “bread” which “Moses gave” (v.32).

<sup>242</sup> Many reliable MSS, including P<sup>75</sup>, do not have the pronoun “αὐτου” (his) before “flesh” in v.52.



is to be viewed through a Passover/Exodus “screen,”<sup>243</sup> Jesus is held up to Moses who, according to the crowds, gave their ancestors “bread from heaven” to eat (v.31).<sup>244</sup> In response to the crowd’s challenge to perform for them a sign, Jesus firstly dispels the notion that Moses had provided them with “bread.” It was not Moses who gave, but God who *gives* (v.32)! Two points are made in this statement: 1) Moses did not give the ancestors bread to eat in the wilderness, for he was merely the broker of God’s gift, and 2) The *true* bread from heaven was not given by God in the past, but *is given* by God in the present! Moses is simultaneously affirmed as an earthly broker of the manna in the wilderness, while being denied the status of heavenly broker, since he did not and does not broker the *true* bread from heaven. This echoes 1:17, where Moses is acknowledged as broker of the law, but *not* the broker of grace and truth. Jesus alone brokers the heavenly benefits of grace and truth.

There are two dimensions to the word “bread” in connection with Moses. First, of course, “bread from heaven” denotes manna. The phrase “bread from heaven” was commonly used for manna in the Hebrew Scriptures.<sup>245</sup> But it was not unusual to speak of God’s Word, or Torah, as bread and food as well.<sup>246</sup> Significantly, Isa 55:10-11 refers to it thus. Since the Evangelist uses Isa 54:13 in 6:45, he could have had Isa 55:10-11 in mind when he composed the Bread of Life Discourse.<sup>247</sup> In any case, it is likely that the “bread from heaven” Moses purportedly gave the ancestors alludes to Torah as well as manna. John 6:46, “Not that anyone has seen the Father except the one who is from God,” seems to challenge the belief of the Israelites that Moses had ascended to heaven to receive the Torah and had “seen” God.<sup>248</sup> This polemical verse relates to 3:13, “No one has ascended into heaven except the one who descended from heaven, the Son of Man,” another instance where Jesus distinguishes himself from earthly brokers (note the mention of Moses directly following it). And in 1:18, after an overt comparison between the brokerage of Jesus and Moses (1:17), we find the identical assertion as in 6:46, that *only* Jesus has “seen” the Father. Therefore, the reference to Jesus as the only one who has seen the Father in 6:46 should be read as a challenge to the belief that Moses had seen God when he received the Torah. The tacit allusion to Torah in this context, as well as the mention of “the law” as that which “was

<sup>243</sup> Olsson (1974: 102-109), Painter (1989), Saldarini (1998).

<sup>244</sup> There may also be an allusion to Elisha in this passage, since the Evangelist states specifically that Jesus offered “barley loaves,” the kind of loaves with which Elisha miraculously fed a hundred people (2 Kings 4:42) (Howard-Brook [1994: 144]). Perhaps Jesus is here being measured against “the prophets” in addition to Moses.

<sup>245</sup> Neh 9:15; Ps 105:40; and Wis 16:20; see also Ex 16:4 and Ps 78:24.

<sup>246</sup> See Brown (1966/70, v.1: 273) and Bowman (1983-84: 3), who cites Midrash *GenR* 70, 44d and *Pesikta* 80b. As many scholars note, Wisdom was also described as bread, food, and drink in Israelite tradition.

<sup>247</sup> Brown (1966/70, v.1: 274).

<sup>248</sup> *ExodR* 28:1, 40:2, 41:6-7, 43:4, 47:5, 8; *DeutR* 2:36, 3:11, 11:10; *Pesikta Rabbati* 20:4, cited by Moloney (1996: 61).



given through Moses" in 1:17, confirms as reasonable the view that the "bread" which Moses gave the ancestors (and they died!) represents the Torah as well as manna in chapter six.<sup>249</sup> In comparison with the bread that Jesus gives (and is), this bread brokered by Moses is characterized as "perishing."

In a recent study of the Fourth Gospel, Marie-Emile Boismard<sup>250</sup> investigates John and finds many allusions to Deut 18:18-19, as well as to other Old Testament scriptures about Moses. He concludes that the theme of Jesus as Moses-like-prophet pervades the Gospel. Especially compelling are the similarities between Deut 18:18-19: "I will raise up for them a prophet like you from among their own people; I will put my words in the mouth of the prophet, who shall speak to them everything that I command," and God's commanding Jesus regarding "what to say and what to speak" in John 12:49. Further reminiscences to Deut 18:19 seem to lie behind Jesus' claim to "do nothing on my own," and to speak only what the Father has instructed him in 8:28. We can accept that these are reminiscences. However, Boismard also sees in John many other references to Deut 18:18-19 and parallels to Moses, some of which have left certain readers, including ourselves, unconvinced.<sup>251</sup> More importantly, Boismard's over-emphasis on the Jesus-Moses parallels in John in our view leads to a misassessment of Jesus' primary mission in the Gospel, and a softening of the polemical nature of the Moses passages. Toward the end of his essay "Jesus, the Prophet like Moses," Boismard concludes that Jesus was sent by God above all to transmit God's words.<sup>252</sup> We find this untenable. Upon a reading of the Gospel, it seems apparent that Jesus was sent above all to make available access to eternal life or spiritual birth, not to be God's communicator in a prophetic sense. Finally, though the Evangelist does seem to recall the work of God's broker in Deut 18:18-19 when he portrays Jesus as speaking the words God has commanded him, he does not seem to view Jesus' brokerage mission as a reifying of the Mosaic mission, but as an entirely new thing. According to the Evangelist, Jesus brokers access to God in a way he alone, as the one sent from the realm of God, is able. This theme comes to the attention of the reader as early as the Prologue (1:17-18), but as we have seen, also surfaces in chapters 3 and 6 of John.

The bread which the Son of Man will give "endures for eternal life" (v.27). Those who believe in the Son have eternal life (v.40, 47), for it constitutes the most important benefit he brokers. When we read in v.35 that Jesus himself *is* the bread of life, and whoever comes to him will never hunger and

---

<sup>249</sup> A conclusion shared by Sandelin (1987) who finds that in John 6 Jesus is depicted as supplanting the Law, just as in John 4 Jesus is portrayed as supplanting Wisdom, a nourisher who is incapable of quenching thirst (Sir 24:21).

<sup>250</sup> Boismard (1993).

<sup>251</sup> For example, Menken (1993b: 315-317) and Schnackenburg (1995: 272-273).

<sup>252</sup> Boismard (1993: 61f.).

thirst, readers of the Gospel should now understand the author's meaning: by believing in or accepting Jesus, symbolized by ingesting the bread of life, people receive eternal life, symbolized by the eternal cessation of hunger and thirst. Jesus once again purports to be the broker through whom access to eternal life becomes available. This claim persists throughout the entire discourse.

At v.51c however, the perspective alters slightly. While up to this point, Jesus claimed to *be* the bread of life, at v.51c we read that the bread he gives is his "flesh" which he will give for the life of the world. The Ἰουδαῖοι misunderstand this statement (v.52), which allows Jesus to perseverate on the theme of his life-giving flesh and to expand on the corporeal imagery he has used. He adds the image of "blood": "Very truly, I tell you, unless you eat the flesh of the Son of Man and drink his blood, you have no life in you" (v.53). This verse lucidly alludes to Jesus' sacrificial death. Several scholars have argued that "flesh" and "blood" indicate the eucharistic elements in v.51c-58.<sup>253</sup> But the use of the first-person pronouns in v.56-57 indicates that the "flesh" and "blood" imagery of v.51c-58 qualifies and refers to the person of Jesus.<sup>254</sup> To speak of Jesus' flesh and blood is to speak of *him* in a particular sense, and need not point readers to the eucharistic elements.<sup>255</sup> The sense in which Jesus speaks of himself using this flesh and blood imagery is in the sense of his death. Up to v.51c, Jesus had spoken of himself as the "bread of life." At v.51c, one does not find a *change* of perspective, so that the bread which formerly denoted Jesus, now denotes something different, namely the eucharistic element, rather we find a qualification and intensification of the preceding theme.<sup>256</sup> Jesus is *still* the bread of life in 51c-58, but we learn that he becomes that bread only by giving his body in death.<sup>257</sup> The Evangelist probably recognized the eucharistic overtones of the eating/drinking of flesh/blood imagery in v.51c-58 and purposely employed the imagery for its metaphorical value in referring to Jesus' death, but nowhere do these verses suggest that Jesus calls people to partake of the eucharistic elements to receive life. Jesus exhorts the crowd to partake of/accept *himself*, and specifically his body given in death, not

<sup>253</sup> Bornkamm (1967: 60-67), Leroy (1968: 109-121), Bultmann (1971), Becker (1979/1981, v.1:219-227), Voelz (1989), Perry (1993), and Howard-Brook (1994: 165). For a full listing of these scholars, see Becker (1979/1981, v.1: 198-199) and Menken (1993a: 1, n.3).

<sup>254</sup> Menken (1993a: 9).

<sup>255</sup> Painter (1989: 444-445). If the Fourth Evangelist was referring to the eucharistic elements in 6:51c-58, he probably would have chosen to use the word "σῶμα" instead of "σᾶρξ" since "σῶμα" and "αἷμα" were much more commonly used to refer to the eucharistic elements.

<sup>256</sup> Menken (1993a: 11). Johnston (1970: 28) too sees 6:51-58 as a *development* on the bread of life theme, not a shift to the theme of the Eucharist.

<sup>257</sup> We have earlier shown how the Evangelist depicted Jesus as the perfect paschal sacrifice. In his article on John 6:51-58 (1987), Grassi points out the significance of the fact that the passover lamb was supposed to be eaten. In chapter 6 of John, which is redolent with reminiscences of Passover and Exodus, one should read Jesus' call to "eat him" as an allusion to his death as the perfect passover sacrifice (pp.27-29).

to do any literal eating and drinking.<sup>258</sup> “Flesh and blood” language was often used to refer to violent, shameful human death in both the New and Old Testaments,<sup>259</sup> and was employed within the context of animal sacrifice.<sup>260</sup> Furthermore, the word “blood” often signifies violent human death in New Testament texts.<sup>261</sup> In John 6:51c-58 “flesh” and “blood” refer to Jesus’ violent, shameful death as a sacrifice “for the life of the world.” The talk of “chewing on” (verb - τρώω) flesh and drinking blood should not be read literally, not even in the sense of literally chewing bread and drinking wine as symbols of Jesus’ flesh and blood. The Evangelist utilizes graphic language to heighten the offense of what Jesus has been saying up to v.51c: that he is the bread of life which people must eat (φάγη) in order to have eternal life. The language the Evangelist employs beginning at v.51c, “chewing flesh and drinking blood,” heightens the offense, just as Jesus’ references to his violent, shameful death in v.51c-58 heighten the offense of what he has said thus far. Not only do people have to eat or partake of Jesus, the bread of life, in order to receive life, but they are expected to “chew on” Jesus’ slain flesh and spilled blood, alluding to Jesus’ repulsive death on the cross.<sup>262</sup> They are asked to partake of or accept Jesus as the one who mediates life to the world. But as an executed criminal. What might such acceptance involve?

Elsewhere in the Gospel, accepting Jesus, “believing in” him, seems to necessitate understanding who Jesus is and where he has come from. Only those who understand the revelation of God through and in Jesus come to belief. Likewise, in the Bread of Life Discourse “eating the bread of life” indicates the activity of those who understand Jesus and thus receive him. The Evangelist repeatedly strives to inculcate loyalty to and acceptance of Jesus, and he uses many metaphors to express this relationship. The metaphor of chewing Jesus’ flesh and drinking his blood is one example. Those who understand Jesus’ death as his glorification by the Father and as a sacrifice “for the life of the world” and are not misled by its apparent repulsiveness, can partake of Jesus and receive eternal life. In a discourse redolent with the themes of “believing in” Jesus, “coming to him,” and “abiding in him,” it is very likely that the eating and drinking metaphors signify the same interpersonal experiences characterized by “coming,” “believing,” and “abiding,” namely acceptance of and loyalty to Jesus as the

<sup>258</sup> See Lindars (1972: 252-255), Painter (1989: 444-445).

<sup>259</sup> See Eph 2:13-16; Col 1:20-22; and Ps 79:2-3; Ezek 32:5-6; also 4 Macc 6:6.

<sup>260</sup> Malina and Rohrbaugh (1998: 134).

<sup>261</sup> See Mt 23:35, 27: 4, 6, 8, 24-25; Acts 5:28, 18:6, 20:26; Heb 12:4; Rev 6:10, 19:2.

<sup>262</sup> It is possible that Jesus’ talk of flesh here and the “repulsive” effect it has on the crowd harkens back to the Israelites’ request for “flesh” (quail) in Numbers 11: 31-35, and its repulsive effect.

crucified Son of God sent from above.<sup>263</sup> That the interpersonal experiences of “coming to” Jesus and “believing in” him are expressed via the metaphor of eating the “bread of life” (Jesus) in v.27-51b (v.35, 47-51b), impels us to conclude that the “eating” and “drinking” in 51c-58 point to the same sort of interpersonal experience. It is just being added that believing in Jesus must involve an understanding and acceptance of his violent, shameful death as the means by which Jesus brokers access to eternal life.

With this understanding of the discourse providing the context of 6:63, we can begin to interpret what Jesus says about the spirit therein. After he has finished his teaching, we learn that many of Jesus’ “disciples” found it offensive and difficult to “hear,” or accept (v.60). It seems likely that these disciples deem the entire discourse to be “σκληρός,” rather than particular unspecified sayings. If the Evangelist does have particular sayings in mind, we cannot begin to know what they are, as he proffers no clues. But several of the issues breached in the discourse probably caused offense to Jesus’ audience, which included Ἰουδαῖοι, some of whom are probably among the defecting “disciples” in v.60-66. For instance, Jesus claims in 6:50 to provide/be the “bread” which leads to eternal life. In 8:51-52 the Ἰουδαῖοι accuse him of having a demon for making a similar claim. Furthermore, in 6:51c-58 Jesus purports to give his life for the world, the same sort of claim that earned him an accusation of demon possession in 10:17-20. And Jesus’ assertion to have divine origins, clearly at issue in 6:41-42, constitutes a stumbling block for the Ἰουδαῖοι throughout the Gospel (see 7:27-28). Finally, Jesus’ exhortation to the crowd to accept his violent, shameful death would comport ill with many a hearer. The Israelites expected a Messiah who would “remain forever” (12:34). How could they believe in and accept Jesus as the “bread from heaven” if he was to die like every other human being, let alone to die the ignominious death of an executed criminal? All in all, Jesus’ discourse provided his listeners with much that would challenge them, particularly the Ἰουδαῖοι among them.

But as we have already discussed, the theme of 6:27-58 revolves around the ability of Jesus, the “bread of life,” to broker eternal life to all who eat the bread of life, or accept him. The murmurings of the crowd in the passage center on Jesus’ qualifications to broker eternal life. How could Jesus, a son of Joseph, be God’s broker (41-42)? How could *he* give us “flesh” to eat, like God gave to our ancestors

---

<sup>263</sup> A view shared by Painter (1989: 444-445). See Malina and Rohrbaugh (1998) on the use of “antilinguage” in John. As they point out, Johannine antilinguage reaches a high-point in chapter six with the talk of eating Jesus’ flesh and drinking his blood. We also find that a dominant feature of antilinguage, overlexicalization, is at work in chapter six where the metaphorical “eating of Jesus’ flesh” and “drinking of Jesus’ blood” are added to a long list of Johannine phrases used to express the same reality, namely “believing in” Jesus. (For more on antilinguages, see the seminal work by Halliday [1976 and 1978: 164-182]).

(v.52)? And one can imagine them thinking: how could a man who will die a violent, shameful death broker eternal life from God? All of these issues fall within the ambit of the overall theme of the discourse, which portrays a contest of brokers between Jesus and Moses. Moses, the most revered broker of the Ἰουδαῖοι is depicted in 6:27-58 as only brokering “bread” which was perishing. “Your ancestors ate it, and they died”(v.49, 58)! The “bread” Moses brokered denotes both the manna in the wilderness, and the Torah. Jesus thus negates the ability of the Torah to provide access to life.

In response to the murmurings of his “disciples,” Jesus says:

Does this offend you? Then what if you were to see the Son of Man ascending to where he was before? It is the spirit that gives life; the flesh is useless. The words I have spoken to you are spirit and life (6:61b-63).

Scholars debate about the nature of the apodosis corresponding to the protasis in v.62: “What if you were to see the Son of Man ascending...?” Some conclude the apodosis would be something like “... then you would really be offended and confused!”<sup>264</sup> Others adopt a positive stance and believe the apodosis would imply that the disciples’ offense would be removed.<sup>265</sup> We concur with Barrett in his suggestion that these possibilities are not mutually exclusive.<sup>266</sup> The dichotomy posed by the options of “offense” or “vindication” is a false dichotomy. For to those who understand and believe in Jesus, his “ascension,” which includes his “lifting up” on a cross (see 3:13-15), serves to vindicate Jesus as the one he has claimed to be, the Son whose relationship to the Father exemplifies obedience and love (8:28; 12:27; 14:31; 18:11). But for those who are “blind” and cannot understand or receive Jesus, his cross constitutes the ultimate scandal. The ascending of the Son of Man via a crucifixion appears preposterous to them. So the apodosis to v.62 would have to encompass the conflicting reactions of those who believe and those who do not. This double reaction features in 6:66-69, where many “disciples” turn away from Jesus to follow him no longer, and the Twelve, in their first appearance in the Gospel, are given an opportunity to prove their allegiance.

For Jesus’ true followers, seeing the Son of Man ascending to “where he was before,” an overt reference to the realm of God since Jesus has claimed throughout the discourse to be “from heaven” (v.38) and since the title “Son of Man” in John points to Jesus’ heavenly origins,<sup>267</sup> would vindicate Jesus as God’s broker. Jesus asks these disciples to imagine what it would be like if they saw Jesus ascending

---

<sup>264</sup> For example Bultmann (1971).

<sup>265</sup> See Odeberg (1974: 268-269), Lindars (1972: 271), and Malina and Rohrbaugh (1998: 137).

<sup>266</sup> Barrett (1978: 303).

<sup>267</sup> Ashton (1991: 337-373).



and returning to God the patron, the one who sent him.<sup>268</sup> Then they would see that he was the one through whom access to God's patronage and eternal life are mediated! They would see for themselves that Jesus is the Son of Man and would have no reason to doubt his ability to mediate access to the realm of God.

But for the unbelieving crowd, whose murmurings throughout the discourse betray a reticence on their part to believe that Jesus qualifies to broker eternal life from God, seeing Jesus, the Son of Man, "ascend" would heighten their incredulity. This is because the Evangelist uses the language of "ascending" and "lifting up" to signify indirectly Jesus' crucifixion, though it primarily refers to Jesus' exaltation.<sup>269</sup> The Fourth Evangelist, more than any other, blurs the distinction between Jesus' ignominious crucifixion and his entrance into glory. And the Johannine vision of the paradoxical crucifixion/glorification closely aligns with the title "Son of Man," a title linked with the suffering Jesus in synoptic tradition.<sup>270</sup> In his efforts to blend Jesus' crucifixion with his exaltation, the Evangelist employs a title inextricably bound together with Jesus' rejection and crucifixion and meshes these shades of meaning with overtones of majestic glory, while stressing the latter. But unbelievers are "blind," and thus unable to see past the shameful element of Jesus' "ascension" in order to grasp its full meaning.<sup>271</sup> The offensive teaching to which these disciples were reacting in v.60 encompasses all of what Jesus has said about being the one who can provide "bread from heaven" which one can eat and never die. Those offended by this teaching would be doubly offended by the notion that this "living bread" is to be brokered by one who must himself die dishonorably.

Jesus then says, "It is the spirit that gives life; the flesh is useless" (v.63). This saying becomes intelligible when read in light of the contest of brokers staged in 6:27-58. Throughout the discourse, Jesus has defended his ability to broker the bread of life by claiming to be "from heaven" (v.38, 51), to be the only one who has seen the Father (v.46), and to be sent from the living Father (v.57). These assertions function to distinguish Jesus, the Son of Man and true representative of the God-realm, from all other brokers and especially Moses. As in chapter three where the dualism between flesh and spirit stands out starkly, the Evangelist here constructs a dualism according to which Jesus is of the heavenly sphere and all other brokers are of the earth. So following his statement about the Son of

---

<sup>268</sup> Malina and Rohrbaugh (1998: 137).

<sup>269</sup> Dodd (1960: 394), Nicholson (1983: 91, 141-143), Ashton (1991: 493-494), de Boer (1996: 157-173).

<sup>270</sup> Ashton (1991: 364).

<sup>271</sup> Thus Meeks' well-warranted comment: "The ascension theme in John is... fraught with opportunity for misunderstanding" (1972: 64). See also Loader (1989: 118).



Man ascending to heaven in 6:62, it should not come as a surprise to find a dualistic contrast between the spirit and flesh. The contrast posed in v.63 could even be viewed as the climax to the entire Bread of Life Discourse, which is markedly dualistic. In saying “the spirit gives life; the flesh is useless,” Jesus alleges that only the Son of Man, the one who has descended from the spiritual realm and will return there, can mediate access to life. The flesh, or those of the realm of the flesh, are incapable of brokering life. Only Jesus possesses the legitimation of “spirit,” because he alone has come down from heaven; he alone has the “seal” of the Father (v.27b). Moses and all other earthly brokers cannot purport to be representatives of the spiritual realm, or heaven. They are of the flesh, and can only broker fleshly benefits, such as manna and Torah, which the ancestors “ate” and died. What they broker proves “useless” insofar as it not conducive to life. “Life” is not a benefit to which “fleshly,” or earthly, brokers can provide access. It is only available to those who have experienced spiritual birth and passed from the earthly realm to the realm of God, a consequence of loyalty to and acceptance of Jesus.<sup>272</sup>

Significant for our interpretation of v.63a is whether or not we read “the spirit gives life” as a reference to “the Spirit,” with a capital “S,” or as “the spirit” uncapitalized. Reading it “the Spirit” suggests that the personified “Spirit” confers life. But such an interpretation cannot be warranted. The word “spirit” is presented as the antithesis of “flesh” in v.63a. Since “the flesh” surely should not to be capitalized and personified, neither should the spirit. Furthermore, “spirit” is coupled with “life” in v.63b, and the two seem to be interrelated. Again, since “life” in v.63b appears uncapitalized and unpersonified, neither should spirit be capitalized and personified. “The spirit gives life” does not mean that “the Spirit,” a divine person similar to the Paraclete found in Farewell Discourses, gives life. In the Fourth Gospel “life” is a gift from God to all who believe in Jesus. It means that Jesus, the one who is “of spirit” as opposed to those “of flesh,” alone can mediate access to life.

The dualistic nature of the terms spirit and flesh in v.63 are undeniable. Yet the use of “σὰρξ (flesh)” in 6:51c-58 to describe Jesus’ body given in death, raises certain quandaries. Does “flesh” in v.51c-58 have the same dualistic meaning as in v.63? If so, then it would seem Jesus’ life-giving flesh in these verses constitutes the antithesis of “spirit” which gives life. Obviously that would be a fundamental contradiction. This has led some scholars to conclude that “flesh” in v.51c-58, as a way of describing Jesus’ body given in death, does not carry the dualistic overtones it does in v.63.<sup>273</sup> The

<sup>272</sup> On “life” and its pointedly Christological sense in John, see Moule (1975).

<sup>273</sup> For example, Lindars (1972: 271), Odeberg (1974: 269), and Menken (1993a: 25).

“flesh” Jesus gives for the life of the world does not oppose spirit, for Jesus is the “spiritual man,” the Son of Man descended from the God-realm, and his broken body mediates access to eternal life. As we have already argued, Jesus’ “flesh” and “blood” function as ways of speaking of Jesus himself, who represents the spiritual realm. With reference to Jesus, “flesh” denotes the Word taking on flesh in order to dwell among humanity (1:14), and the “enfleshed” Word is no ordinary flesh!<sup>274</sup> The Evangelist, then, uses “σὰρξ (flesh)” in a different sense in v.51c-58, with reference to Jesus’ body, than the typical dualistic sense in which it is used in v.63 (and in 3:6). Therefore, he can say in v.63b “the flesh is useless” without implying that *his* flesh is useless. For his flesh is unique.

“Flesh and blood” language, traditionally used to describe violent and shameful human death, was useful in v.51c-58 for describing Jesus’ giving of his body for the life of the world. But the use of “flesh” in v.51c-58 might also be intended as ironical. The Ἰουδαῖοι misconstrue what Jesus said in v.51c about giving his “flesh” for the life of the world. They think he plans to give them “flesh,” i.e. meat. Double meanings and the misunderstandings they produce feature prominently in the Evangelist’s style. Thus the juxtaposition of two different meanings of “flesh” in v.51c-58 and in v.63 should not constitute an insurmountable problem for interpreters. When Jesus speaks of his “flesh” which gives life, he ironically refers to that which is spiritual, yet those in the audience whom the Father has not “drawn” (v.44, cf. v.37, 39), cannot see beyond the corporeal meaning of the word to grasp its spiritual intent. In speaking of his “flesh” Jesus speaks of his death, which is the event by which spirit is made available to believers. It is a “spiritual” event.

Finally, Jesus tells the disciples, “The words that I have spoken to you are spirit and life” (v.63b). Jesus uses the emphatic “I” in this statement. Therefore, it would seem that Jesus contrasts the words *he* has spoken with the words of others which apparently are *not* spirit and life. Within the context of the entire discourse, the words spoken by Moses, the Torah, the “perishing bread” Moses had provided, are likely implied.<sup>275</sup> As the manna mediated by Moses in the wilderness contrasts with the life-giving words of God in Deut 8:3, so here the Evangelist contrasts Jesus’ words with the “bread” Moses provided. *Jesus’* words are spirit and life.

It is important to understand the metaphorical quality of Jesus’ statement in v.63b. Jesus does

<sup>274</sup> We are aware of the debate surrounding the question of whether the Prologue is to be viewed as an integrated part of the overall Gospel (see Robinson [1962-63] and Harris [1994]; Miller [1993] contends it is a summary of the Gospel). However, we feel the continuity of 1:14 and 6:51c-58 show that in regard to this point, the Prologue and Gospel seem to be well integrated. It is not our intention to formulate an argument for or against the integration of the Prologue in general, as the whole issue is outside the scope of this study.

<sup>275</sup> Brown (1966/70, v.1: 297).

not somehow equate spirit with his spoken words, as Porsch suggests.<sup>276</sup> Nowhere else in the Gospel does the Evangelist imply that Jesus' words and spirit are coterminous, and whether or not that notion emanates in this verse is certainly debatable. Jesus has just finished contrasting the descending/ascending Son of Man, the representative of the spiritual realm, with representatives of the fleshly realm. And in v.63b he (or the Evangelist) intends to contrast his words with the words of others. He evokes that contrast by characterizing Jesus' words as superior, as "other." Jesus' words are superior because they are from the spiritual realm, they are the "words of God" (3:34). His words mediate life because those who believe in Jesus and accept him as the one he claims to be are given access to eternal life. Saying Jesus' words are "spirit" and "life" metaphorically describes Jesus' words with reference to the known nature of "spirit" and "life" the way saying Jesus is a door metaphorically describes Jesus with reference to the known nature of a "door." What we know about the nature of "spirit" and "life," according to the dualistic perspective of John, is that they come from God. Hence, the metaphor "Jesus' words are spirit and life" means that Jesus' words are not fleshly words, like the words of the "earthly" one in 3:31 or of Moses, for Jesus' very words have come from the realm of spirit and life. To the extent that the Evangelist characterizes Jesus as the bringer of revelation from God, he depicts Jesus as the bearer of "spiritual" words. The association of Jesus' words with "spirit" and "life" legitimates his claims to be God's broker. His words have offended his disciples, many of whom are about to turn away from him rather than accept them. In the face of this rejection of his "teaching," Jesus purports to have the authority to speak as a representative of the God realm, to speak spiritual words which mediate access to life.

1.5. *Rivers of living water (7:37-39)*. Following Jesus' discourse in John 6 and its results, namely the abandonment of Jesus by many disciples and the confession of Peter as representative of the Twelve, Jesus "secretly" goes to Jerusalem for the Festival of Sukkoth, or Tabernacles. The beginning verses of chapter seven warn the reader that the opposition to Jesus by the Ἰουδαῖοι had heightened:

"the Ἰουδαῖοι were looking for an opportunity to kill him" (7:1), thus explaining Jesus' surreptitious behavior. Verses 7:12-13 indicate that even the crowds at the festival were cowed by the Ἰουδαῖοι; they would not speak openly about Jesus. But despite the heated atmosphere in Jerusalem, Jesus goes to teach in the temple midway through the Festival. Predictably, this only goads the festering hostility of the Ἰουδαῖοι and after a couple of vituperative speeches in which Jesus accuses the audience of not

<sup>276</sup> Porsch (1974).

keeping the Mosaic law (v.19a), of seeking to kill him (v.19b), and of not knowing God (v.28b), there transpires another division among the crowd. Some try unsuccessfully to arrest Jesus (v.30), and others come to belief (v.31). In such a contentious setting, Jesus acts provocatively in standing up to make a public proclamation on the last day of the Festival.<sup>277</sup> But before dealing with the words of that proclamation, in which Jesus speaks of the spirit, we must set the stage with background information about the Feast of Tabernacles.

Oddly, John is the only Gospel to mention this festival,<sup>278</sup> though it was purportedly the most popular of the Jewish pilgrimage feasts.<sup>279</sup> Information about the festival is found in the Old Testament, as well as in intertestamental and rabbinic literature. It probably originated as an agricultural festival, celebrating the harvest with a marked degree of conviviality (Ex 23:16),<sup>280</sup> but later developed into a formal religious occasion (Lev 23:39-43). By the first century C. E. the festival lasted for eight days<sup>281</sup> on which those in attendance at the festival would live in humble tents, or “tabernacles,” constructed out of branches, in memory of the wilderness wanderings of their forefathers (Lev 23:39-43).<sup>282</sup> Besides this “remembrance” element, the festival also looked forward to the day when “the Lord will become king over all the earth” (Zech 14: 9).<sup>283</sup> When this day came, all the nations would go to Jerusalem at the Feast of Tabernacles and prostrate themselves before Yahweh, or no rain would fall on them (Zech 14:16-19).<sup>284</sup> Water rituals and prayers for rain dominated the festival by the first century C. E.,<sup>285</sup> although prayers for rain were likely a feature of the earliest agricultural festival as well.<sup>286</sup>

On each day of the Feast of Tabernacles a procession led by priests and singing Levites and accompanied by a crowd of observers would go down to the Pool of Siloam to gather water in a golden container.<sup>287</sup> This procession would return to the Temple through the Water Gate, which in rabbinic tradition was associated with the south gate of Ez 47: 1-5, through which the waters of life would flow

---

<sup>277</sup> Neyrey (1996: 108-109).

<sup>278</sup> Smith (1962-63), however, argues that the feast behind Mark 11:1-12:12 is Tabernacles, rather than Passover as is generally assumed.

<sup>279</sup> Josephus *Ant.* 8:101, Knapp (1997: 112).

<sup>280</sup> Yee (1989: 71).

<sup>281</sup> Josephus *Ant.* 3.247.

<sup>282</sup> Lev 23:42-43. See Yee (1989: 72-73) and Pedersen (1940: 424).

<sup>283</sup> By the first century C. E., this forward-looking element may have come to overshadow the “historical” overtones of the festival, though both were still integral to the celebration (Glasson [1963: 47]).

<sup>284</sup> Zech 14: 16-19.

<sup>285</sup> Pedersen (1940: 425).

<sup>286</sup> Pedersen (1940: 424) and Yee (1989: 73).

<sup>287</sup> Moloney (1996: 67).

out from the threshold of the Temple when the kingdom of God had come.<sup>288</sup> When the joyous procession reached the altar of the Temple the designated priest would pour the water into one silver bowl upon the altar, and wine into another. These were then poured out on the altar as offerings to God (Mishnah *Sukkah* 4.9). This water ritual seems to have had several functions. Firstly, it was bound up with the prayers for rain which were a prominent feature of the festival. Associated with the remembrance element of the festival, it served to bring to mind the “water from the rock” which God had provided through Moses to the Hebrew people during their forty year sojourn in the wilderness (Ex 17:1-7).<sup>289</sup> Additionally, the rite anticipated the “river” of living water which would flow from the Temple when the kingdom of God had come (Ez 47:1-12).<sup>290</sup> Certain rabbinic and Old Testament traditions linked such an outpouring of water in the messianic age with the effusion of God’s spirit (see Isa 44:3 [a scripture read at Tabernacles]) and it is likely that the pouring out of water at the Feast of Tabernacles presaged that gift.<sup>291</sup> According to one rabbinic source, the Festival’s “Place of Drawing” was so named because it was where the people “drew the holy spirit” (*Sukkah* 55a; cf. *PesiqR* 1:2, *GenR* 70:8). Finally, it was believed that in the end time a messiah, “the latter redeemer,” would cause water to rise from the great well of God, the Torah, and so repeat the gift of water by Moses, “the former redeemer.”<sup>292</sup>

Besides the water rite, a ceremony of light was conducted at the Feast of Tabernacles (Mishnah *Sukkah* 5.1), involving the lighting of four menorahs in the center of the Temple’s “court of the women.” Singing, dancing, and celebration surrounded the lights throughout each night of the festival, and the light from the menorahs purportedly reached to every courtyard in Jerusalem. This rite may have been connected with the remembrance of God’s provision of a pillar of fire to the Hebrew people in the wilderness (Ex 13:21), and the belief that this pillar would return when the kingdom of God had come (Isa 4:5; Bar 5:8-9).<sup>293</sup>

This background information about the water and light rituals at the Feast of Tabernacles makes clear that Jesus’ proclamations at the festival, calling people to “come to him” for drink and

<sup>288</sup> Moloney (1996: 67) cites Tosefta *Sukkah* 3:2-10; *GenR* 28:18; *Shekalim* 6:3; *Middot* 2:6.

<sup>289</sup> Grigsby (1986: 107).

<sup>290</sup> Grigsby (1986: 105-106) and Beasley-Murray (1987: 114).

<sup>291</sup> Knapp (1997: 110).

<sup>292</sup> Moloney (1996: 68). He cites *EcclR* 1:8, and notes that the same notion finds expression in the earlier Pseudo-Philo *LAB* 10:7.

<sup>293</sup> Moloney (1996: 69).



claiming to be “the light of the world” (8:12),<sup>294</sup> were provocative statements. In 7:37 we read that Jesus made these statements on the last day of the festival, the “great day.” Whether the Evangelist refers to the seventh day of the festival, when the water ritual was especially elaborate, or the eighth day, a day of rest following the culmination of the rites, is inconsequential for our study.<sup>295</sup> Either way the meaning and weight of Jesus’ words are the same. And it can probably be taken for granted that these proclamations of Jesus are made in the Temple, since Jesus’ other teaching at the festival takes place in the Temple (see 7:14).<sup>296</sup> Jesus cries out “Let anyone who is thirsty come to me, and let the one who believes in me drink. As the scripture has said, ‘ἐκ τῆς κοιλίας αὐτοῦ (out of his belly) shall flow rivers of living water’” (7:37-39). In a characteristically Johannine aside, the Evangelist then explains that Jesus was referring to the spirit. Jesus’ call to those who “thirst” could, on one level, be understood literally, especially in the context of the festival prayers for rain. But John’s intended meaning is figurative (cf. ch. 4). “Thirst” was used metaphorically by Old Testament and intertestamental writers to describe a longing for God and spiritual sustenance.<sup>297</sup>

The verses at John 7:37-38 have occasioned voluminous analysis by biblical scholars. The Greek wording of Jesus’ proclamation ( Ἐάν τις διψᾷ ἐρχέσθω πρὸς με καὶ πινέτω ὁ πιστεύων εἰς ἐμέ καθὼς εἶπεν ἡ γραφή ποταμοὶ ἐκ τῆς κοιλίας αὐτοῦ ῥεύσουσιν ὕδατος ζῶντος) is ambiguous and its meaning can be altered depending on how one chooses to punctuate it. Two options are usually presented: 1) one can place a full stop after the word πινέτω (let him drink), or 2) one can place the full stop after ὁ πιστεύων εἰς ἐμέ (the one believing in me). If one adopts the first option, the following sentence begins with “the one believing in me” which then functions as a nominative absolute, in other words, as the subject of the following scripture quotation. On the other hand, if one places the full stop after “the one believing in me,” the participle would then seem to be the subject of the preceding verb “πινέτω” (let him drink). Or one could view the phrase “the one believing in me” as an interpretive or explanatory aside, bearing no syntactical relationship to the clause preceding it. According to this view, proposed by Blenkinsopp, the aside functions as a “*pesher*,” or interpretation, of Jesus’ *logion*,<sup>298</sup> much like the interpretive aside in John 2:21. Thus “the one believing in me” explains or interprets who gets to “drink” (πινέτω), without

<sup>294</sup> When Jn 8:1-11, a later insertion into the Gospel, is removed, it is clear that Jesus’ words beginning at 8:12 continue his teaching in 7:37-38.

<sup>295</sup> Commentators debate the point and adopt their own conclusions. For example Brown (1966/70, v.1: 320) and Schnackenburg (1980/82, v.2: 153) contend that the proclamation took place of the 7th day, while Barrett (1978: 326) holds it happened on the eighth.

<sup>296</sup> Bultmann (1971: 302).

<sup>297</sup> Ps 42:2, 63:1, 143:6; Sir 51:24; 1 Enoch 48:1.

<sup>298</sup> Blenkinsopp (1959/60: 96).



being the actual subject of that verb.

The consequences of the two main options are substantial for the interpretation of 7:37-39. Option 1 suggests that the believers are the subject of the scriptural quotation in v.38 and thus the source of living water (and spirit, v.39) to which Jesus (and the Evangelist) refers. Option 2 suggests that Jesus intends the scriptural quotation to refer to himself as the source of living water (and spirit). Blenkinsopp's alternative avoids the dichotomy (though he holds that the believer's are intended as the source of spirit in v.38<sup>299</sup>) yet we will see that his view is not without its own difficulties.

Let us outline the arguments in favor of the main options.<sup>300</sup> Arguments presented in favor of option 1, which is first found in Origen and has the support of P<sup>66</sup> as well as several patristic writers (who seem to have been influenced by Origen),<sup>301</sup> are:

- 1) nominative absolutes are a fairly common grammatical construct in John (6:39; 8:45; 15:2; and 17:2).<sup>302</sup>
- 2) Option 2 would require that Jesus shift from referring to himself as "me" in v.37 to referring to himself as αὐτοῦ (him) in v.38.
- 3) The commentary on the scriptural quotation in v.39 centers on the believers' receiving of the spirit rather than the Messiah's giving of it.<sup>303</sup> And,
- 4) The phrase ὁ πιστεύων εἰς ἐμέ (the one believing in me) is commonly found at the beginning of a sentence in John and is never elsewhere found at the end.<sup>304</sup>

Still, of these arguments, 2, 3, and 4 are not without problems. Regarding 2), Jesus' use of the pronoun "him" in v.38 can be explained by the fact that his words are supposed to be a quote. Regarding 3), though the Evangelist's commentary in v.38 centers on the believers rather than the Messiah, it is not even vaguely suggested in the comment that the believers will be a source of the spirit. The issue is clearly *when* the believers would *receive* the spirit, obviously from some implied source. And regarding 4), though the phrase ὁ πιστεύων εἰς ἐμέ commonly occurs at the beginning of a sentence in John, never elsewhere is it the anticipated subject of a scriptural quotation.<sup>305</sup>

<sup>299</sup> Blenkinsopp (1959/60: 98).

<sup>300</sup> See also Brown (1966/70, v.1: 320-321) and Schnackenburg (1980/82, v.2: 153-154).

<sup>301</sup> For a survey of patristic interpretations of John 7: 37-38 see Rahner (1941), as well as Byun (1992), whose monograph on the history of interpretation of John 7:39 proffers a detailed summary of patristic as well as modern interpretations of vv.37b-38a (p.118f.). See also Schnackenburg (1980/82, v.2: 153) on how the Option 1 interpretation "works" well for Origen's theology.

<sup>302</sup> Moulton (1920: 424) and Barrett (1978: 326).

<sup>303</sup> Fee (1978: 116).

<sup>304</sup> Lindars (1972: 299).

<sup>305</sup> Kilpatrick (1960).

The arguments in favor of Option 2, which was first advocated by Justin in the second century and boasts the support of many patristic writers,<sup>306</sup> are as follows:

- 1) when a full stop is placed after “the one believing in me,” parallelism is maintained in v.37, to the effect:

If anyone thirsts, let him come to me;

And let him drink who believes in me.

A saying very similar to this is present in John 6:35, “He who comes to me will never hunger; And he who believes in me will never thirst,” where “coming” and “believing” constitute the parallelism. Though the wording differs between the two sayings, the saying at 7:37 also seems to present “coming” and “believing” as related actions.<sup>307</sup> The strongest criticism against Blenkinsopp’s proposal is that it disregards this parallelism.<sup>308</sup> Moreover, his proposed “sense” of the passage seems forced.<sup>309</sup> The remaining arguments in favor of Option 2 are not grammatical, but contextual, for it is the context of the verses which must ultimately decide our interpretation.<sup>310</sup>

- 2) Nowhere else does the Evangelist depict the believer as a source of living water/spirit to others. Believers are always the recipients of living water/spirit/drink in John, with Jesus consistently portrayed as the one who confers it (4:10; 6:35; 14:16; 19:34; 20:22). The reference in 19:34 proves especially pertinent, for as we have argued, it is likely intended as a fulfillment of 7:37-39.<sup>311</sup> Some scholars adduce John 4:14 as evidence of the believer’s becoming a source of living water/spirit,<sup>312</sup> however there is no suggestion of this within the verse.<sup>313</sup>
- 3) The division among the crowd resulting from Jesus words in 7:37-39 suggests that Jesus’ claims were apparently messianic. “This is really the prophet,” some say; others, “This is the Messiah.” Such responses support the notion that Jesus had asserted himself to be the giver of living water/spirit and the fulfillment of the scripture quoted in 7:38.<sup>314</sup> The crowd’s reaction becomes understandable if Jesus’ statement augured his fulfillment of expectations associated

<sup>306</sup> Including Hippolytus, Tertulian, Cyprian, Irenaeus, Aphraates, and Ephraem (Brown [1966/70, v.1: 320]).

<sup>307</sup> See Dodd (1960: 349) and Hooke (1962-63: 372-372).

<sup>308</sup> Hooke (1962-63: 373) and Brown (1966/70, v.1: 321).

<sup>309</sup> He asserts the sense of the passage is: “If anyone thirst, let him come to me *in order to drink*, that is, let him believe in me in order to receive the Spirit (Blenkinsopp [1959/60: 96]).

<sup>310</sup> Schnackenburg (1980/82, v.2: 154).

<sup>311</sup> See §1.1.2. of this chapter. Also Dodd (1960: 349, n.2), Porsch (1974: 58f.), and Burge (1987: 90).

<sup>312</sup> For example, Blenkinsopp (1959/60: 98).

<sup>313</sup> Brown (1966/70, v.1: 321).

<sup>314</sup> Moloney (1996: 88).

with the messianic age, such as the expectation that in the age to come a Moses-like prophet would provide a second gift of “water” from the great well of God, or the expectation that in the messianic age abundant living water/spirit would flow out over all the people.

4) Our final point corresponds to the last. John’s Gospel is redolent with the theme of fulfillment/replacement. Jesus fulfills/replaces many of the motifs from the Old Testament and from Israelite religion. Several passages portray this contrast between the old order and the new.<sup>315</sup> In chapter two Jesus replaces the waters for purification with abundant wine, and tacitly purports to be the new Temple. In chapter four he contrasts himself with the water provided by the patriarch Jacob and claims to provide water which brings eternal life. Further, he foretells of the replacement of temple worship by worship “in spirit and truth.” In chapter five the Evangelist contrasts Jesus’ power to heal with the otiose waters of the Bethzatha pool. In chapter six Jesus proffers the crowd a new “bread from heaven” which, unlike the manna (and Torah) Moses provided, brings eternal life. Skipping over chapter seven for the moment, chapter eight depicts Jesus as the “light of the world” in contrast to the festival lights which are temporary and futile against spiritual darkness. Jesus even usurps the role of Abraham in 8:31-59. Significant for the interpretation of 7:37-39, in chapter nine Jesus effects healing through the medium of the waters of Siloam, giving supernatural power to the mundane waters used in the rites at Tabernacles. And throughout the predicated “I am” sayings Jesus is portrayed as the fulfillment of Old Testament themes or “types.” As Ball writes, “Jesus claims to be the Bread of which the Old Testament spoke, the Light of which Isaiah spoke, the Shepherd of whom Jeremiah and Ezekiel spoke, and the Vine of which many Old Testament passages spoke.”<sup>316</sup> In claiming to be “the Way” Jesus may be taking on the Isaianic concept of “the way of the Lord.” Though this list is not exhaustive, it makes clear that throughout John, and especially in the earlier portion of the Gospel, the Evangelist fashions a picture of Jesus as the fulfillment and replacement of the Israelites’ valued traditions and expectations. Within such a context, it is extremely likely that Jesus’ words in 7:37-39 depict *Jesus* as the source of the living water/spirit and the fulfillment of the hopes and expectations associated with the Feast of Tabernacles.<sup>317</sup>

---

<sup>315</sup> See Hooke (1962-63: 376).

<sup>316</sup> Ball (1996: 259).

<sup>317</sup> See also Burge (1987: 91).

All in all, the contextual arguments in favor of Option 2, and in some cases, the parallelism of v.37-38, have convinced many modern scholars to avow support for that interpretation.<sup>318</sup> We concur with their judgment. In 7:37-38 Jesus invites believers to come to him and drink, then he quotes a scripture which foretells that rivers of living water will flow from “his” belly. In light of the overall context of the passage, Jesus apparently intends the scripture to refer to himself and asserts himself as its fulfillment for all believers.

Several scriptural passages have been proposed as possible sources for the quotation in v.38, however, no passage has been found which exactly matches the Johannine wording. The Fourth Evangelist commonly renders scripture loosely (cf. 6:45; 7:42; 12:15; 19:36),<sup>319</sup> and seems to have done so here. Perhaps he has conflated different scriptures especially connected with Tabernacles.<sup>320</sup> Or, as in 6:31, he could be referring to a midrashic quotation.<sup>321</sup> Either way, the scriptural passages to which v.38 might refer are many.<sup>322</sup> Certain passages from Isaiah are frequently presented as possibilities, especially Isa 12:3 and 44:3 (cf. Isa 55:1), the latter of which was read at the Feast of Tabernacles.<sup>323</sup> Moreover, both of these passages were understood, according to rabbinic traditions, as references to an outpouring of spirit.<sup>324</sup> Zech 14:8 (cf. Zech 13:1) tells of living waters pouring out from Jerusalem “on that day” and likewise was read at Tabernacles<sup>325</sup> and interpreted by rabbinic authors as an allusion to spirit.<sup>326</sup> Most convincing as a possible passage behind John 7:38 is Ezekiel 47. It tells of a “river” of water flowing forth from the Temple and Jerusalem in the end time. Interestingly, Jerusalem was sometimes referred to as the “navel” of the Earth (Ez 38:12; *Jub* 8:19; *b.Sanhedrin* 37a) and the Temple was commonly thought to be at the center of Jerusalem. Therefore, Jesus’ use of a scriptural quotation which portends “rivers” of living water/spirit flowing from “his belly,” and the fulfillment of that prediction in 19:34, implies that Jesus constitutes the fulfillment of Ezekiel’s prophecy about the

<sup>318</sup> For example, Kilpatrick (1960), Hooke (1962-63: 377), Brown (1966/70, v.1: 320), Sanders/Mastin (1968: 214), Porsch (1974: 58, 66), Becker (1979/1981, v.1: 276), Schnackenburg (1980/82, v.2: 154), Schulz (1983: 121), Burge (1987: 89), and Beasley-Murray (1987: 116). See Brown (1966/70, v.1: 320) and Porsch (1974: 66) for a full bibliography. Modern scholars who espouse Option 1 include, Lindars (1972: 301), Odeberg (1974: 284), Hahn (1977), Fee (1978: 116), Barrett (1978: 327), Wijngaards (1988: 29), Carson (1991: 322), Byun (1992: 149-150), and Knapp (1997: 114-15).

<sup>319</sup> Schnackenburg (1980/82, v.2: 155).

<sup>320</sup> Beasley-Murray (1987: 116).

<sup>321</sup> Schnackenburg (1980/82, v.2: 155).

<sup>322</sup> For a full listing, see Freed (1965: 21-38) and Brown (1966/70, v.1: 322).

<sup>323</sup> Freed (1965: 21-38) also cites Isa 43:19-20 and 58:11.

<sup>324</sup> Knapp (1997: 110).

<sup>325</sup> Hooke (1962-63: 378).

<sup>326</sup> Knapp (1997: 110).

effusion of a living water to all the world, although in John, the navel or “belly” of the world is Jesus rather than the Temple.<sup>327</sup>

It is also possible the scriptural quotation in v.38 carries allusions to God’s provision of water from the Rock at Horeb via the brokerage of Moses (Ex 17), especially since the Rock at Horeb had, by the first century C. E., acquired a relationship to the flowing waters of the messianic age.<sup>328</sup> In this case, Ps 78 (77):16, rendered in the Targums: “He made streams of water come from the rock and caused them to come down like rivers of flowing [ie “living”] water,” or Neh 9:15 may underlie the quotation. Grelot asserts that both the tradition about the rock in the wilderness and the expectation of waters from the Temple in the end time were integrated and esteemed elements of the Tabernacles celebration.<sup>329</sup>

The Old Testament references which John 7:38 recalls indicate the richness of Jesus’ statements in v.37-38. Standing in the Temple on the “great day” of the Feast of Tabernacles, Jesus proclaims himself to be the fulfillment of all the longings and expectations wrapped up in the prayers and rituals of the festival. By inviting all who thirst to come to him for drink, Jesus offers himself as the answer to their prayers for rain, although the water he provides is of a spiritual nature. And by quoting a scripture which alludes to one or more of the Old Testament passages about God’s provision of water, either from the rock in the wilderness, or as rivers of living water/spirit flowing out from the Temple of the new Jerusalem, Jesus purports to provide true fulfillment for spiritual thirst, and to be the realization of the Israelites hopes for abundant “water” in the messianic age.<sup>330</sup> In so doing, he diverts attention from literal to spiritual “water,” just as he does in chapter four of John. Further, as in John 2:19-22, Jesus depicts himself as the “new Temple,” the new source of “rivers” of living water (Ez 47).<sup>331</sup>

Another theme behind Jesus’ words in 7:37-38 should be familiar to us from our study of chapters three and six of John. In these verses, the Evangelist portrays Jesus as superseding Moses.<sup>332</sup> Moses had mediated the provision of water to the Hebrew people in the wilderness, and Jesus here offers to provide believers with “living water.” The similarity of this contrast to that of chapter six, between the “bread of life” which Jesus provides and the manna mediated by Moses in the desert, is striking.

<sup>327</sup> On the theme of Jesus as the “new Temple,” compare John 2: 19-22. For more on Jesus’ confrontation with the Temple cult in John 7, see Frühwald-König (1998: 175-216).

<sup>328</sup> See Tosefta *Sukkah* 3: 3-18 and Schnackenburg (1980/82, v.2: 155-156).

<sup>329</sup> Grelot (1963: 43-51) cites Tosefta *Sukkah* 3: 3-18. See also Glasson (1963: 58-59) and Grigsby (1986).

<sup>330</sup> Grigsby (1986: 108).

<sup>331</sup> See Frühwald-König (1998: 175-216).

<sup>332</sup> See Glasson (1963: 52-54), Porsch (1974: 69), Grigsby (1986: 108), and Moloney (1996: 88).

The Evangelist juxtaposes Jesus' offer of "true" bread (ch 6), water (ch 7), and light (ch 8). Bread (manna), water (from the Rock at Horeb), and light (the pillar of fire) are precisely the benefits to which Moses was believed to have provided access during the wilderness wanderings of the Hebrew people. These three "gifts" of Moses were closely associated in certain Old Testament passages (Neh 9:12,15; Ps 105: 39-41). Furthermore, rabbinic tradition held that the "latter redeemer," or Messiah, would repeat these gifts of Moses, the "first redeemer." It is not possible to know for certain whether this tradition was known during the first century,<sup>333</sup> but if it was, it is of particular relevance to our discussion. Martyn cites the following passage which signals the expectation that the "latter redeemer" will be like Moses, providing bread and water:

h. Rabbi Berekiah said in the name of Rabbi Isaac: 'As the first redeemer was, so shall the latter Redeemer be. What is stated of the former redeemer? And Moses took his wife and his sons, and set them upon an ass (Ex. IV, 20). Similarly will it be with the latter Redeemer, as it is stated, Lowly and riding upon an ass (Zech. IX, 9). As the former redeemer caused manna to descend, as it is stated, Behold, I will cause to rain bread from heaven for you (Ex. XVI, 4), so will the latter Redeemer cause manna to descend, as it is stated. May he be as a rich cornfield in the land (Ps. LXXII, 16). As the former redeemer made a well to rise, so will the latter Redeemer bring up water, as it is stated, And a fountain shall come forth of the house of the Lord, and shall water the valley of Shittim (Joel IV, 18). (*Qoheleth Rabba* 1, 8)<sup>334</sup>

It seems that a similar tradition was known to the Evangelist when he chose to portray Jesus as the ultimate fulfillment of Moses' gifts of bread, water, and light in chapters six to eight of John. Such a tradition would explain the precise conjunction of these images. Incidentally, 2 Baruch 29: 8, roughly contemporary with John, confirms the view that a second gift of manna was expected in the new age.

In 7:37-38 Jesus presents himself as the giver of "living water" from his belly.<sup>335</sup> Then in 19:34 he is struck and blood and water flow out from his side. This effusion of water from Jesus' side may build on the image of the water issuing forth from the Rock at Horeb after it had been struck by Moses, an interpretation popular among patristic authors.<sup>336</sup> Two rabbinic traditions about the Rock at Horeb discussed by Glasson substantially bolster this view.<sup>337</sup> *ExodusR* interprets Ps 78:20 to suggest that blood, *then* water, issued from the rock when struck by Moses. And the Palestinian Targum on Num 20:11 says, "and Moses lifted up his hand, and with his rod struck the rock twice: at the first time it

<sup>333</sup> See Martyn (1979: 108, n.161).

<sup>334</sup> Martyn (1979: 109-110) cites Freedman and Simon (1939, v.8: 33).

<sup>335</sup> Schnackenburg (1980/82, v.2: 156) notes that the word usually translated "belly" in v. 38, "κοιλίας," is an obscure word and was probably chosen particularly to prepare for the effusion of water and blood from Jesus' side at the cross.

<sup>336</sup> Glasson (1963: 52-54).

<sup>337</sup> Glasson (1963: 54-55).



dropped blood; but at the second time there came forth a multitude of water."<sup>338</sup> Though these writings are later than the Gospel of John, the parallels with John are astonishing and suggest an early dating for this tradition. Furthermore, John's affinities with this tradition could shed light on the connection between 7:37-38, where living water/spirit is promised in the context of the Feast of Tabernacles, 7:39, where the Evangelist explains that this living water/spirit could not be given until after Jesus' glorification, and 19:34, during Jesus' glorification, where Jesus is struck and blood and water flow from his side. As we have already said, the messianic waters flowing forth from the "navel" of the world, Jerusalem, in the end time had come to be viewed as a reiteration of the water from the rock in the wilderness. Therefore in 19:34 where blood and water flow from Jesus' belly, Jesus seems to replace the Rock at Horeb, just as he replaces Moses.<sup>339</sup> 7:37-38 recall Moses' great water miracle in the desert in succession with a recollection of his manna miracle in chapter six, and in both cases Jesus supplants Moses' greatest "gifts."<sup>340</sup>

V.39 of our passage is an explanatory aside, not uncommon in John (2:22; 12:16).<sup>341</sup> As Fee argues, the stylistic features of the verse are thoroughly Johannine, so one need not attribute the comment to a later redactor.<sup>342</sup> In v.39 the Evangelist offers the reader a "helpful hint" in an effort to guard against misunderstanding.<sup>343</sup> He explains that the "rivers of living water" which were said to flow from "his" belly in the scripture Jesus had just quoted, referred to spirit. The living water Jesus claims to provide is spirit just as the messianic waters of the end time, which were at the core of the longings expressed in the festival rites, were interpreted as spirit (see Isa 44:3).<sup>344</sup> Yet the Evangelist then goes on to write that as yet there was no spirit, for Jesus had not been glorified (v.39b).

This comment presents yet another snag in a notoriously tricky passage. Does the Evangelist mean to suggest that the spirit of Old Testament tradition, the Spirit of Yahweh which empowered prophets among others, was not in existence? Does he mean to suggest that the spirit of which Jesus has spoken throughout his ministry did not yet exist because Jesus had not been glorified? Most likely not. How could the Evangelist say the spirit did not exist when the spirit had descended upon Jesus at the Jordan and was said to "remain" on him? (John 1:32-33). Apparently the Evangelist believes the spirit

---

<sup>338</sup> Quoted by Glasson (1963: 54).

<sup>339</sup> Grigsby (1986: 107-108).

<sup>340</sup> See also Brooke (1988) on the reappropriation of the Mosaic law in John 7-10.

<sup>341</sup> On the history of interpretation of John 7:39, see Byun (1992).

<sup>342</sup> Fee (1978: 117).

<sup>343</sup> Ashton (1991: 546).

<sup>344</sup> Knapp (1997: 110).

was in existence.<sup>345</sup> So what is meant by his words “as yet there was no spirit”? Since these words are spoken with reference to the believer’s reception of the spirit (v.39a), they probably refer solely to the believer’s experience of the spirit.<sup>346</sup> After Jesus’ glorification, those who put their faith in him were to experience the spirit in an entirely new way, but not until then. As far as Jesus’ audience in 7:37-39 is concerned, the spirit *was* not yet, at least not in the plenary sense they were to experience it after Jesus’ glorification. In relationship to Jesus, the Son of God who bears the “seal” of the Father, the spirit was very much present and active. It was “abiding” with him throughout his entire ministry until, at the cross, it was released and made available to believers. But only when it was conferred to the disciples after Jesus’ resurrection could the disciples experience it in the new way afforded by Jesus’ brokerage. The issue at the heart of the Evangelist’s comment in v.39b is the stark contrast between the sporadic and selective activity of the Spirit of Yahweh in the Old Testament and the availability of spirit to all Jesus’ disciples after his glorification (20:22).<sup>347</sup> Compared with the inchoate experience of the spirit before Jesus’ glorification, the believers experience of the spirit would be an entirely “new thing.”<sup>348</sup> This new thing “was not yet” when Jesus spoke his words at the Feast of Tabernacles. Interestingly, the spirit passage at 7:37-39 represents continuity with the Spirit-Paraclete passages in the Farewell Discourses which say the Paraclete could not come until Jesus had gone away (esp. 16:7).<sup>349</sup>

According to our view, Jesus’ offer of spiritual birth and living water is proleptic, anticipating Jesus’ glorification, which from the post-Easter perspective of the Evangelist is “present.” In 3:5, the association of spiritual birth with the kingdom of God stresses the proleptic, soteriological nature of spiritual birth, and in the same discourse, in 3:14-15, attention is directed to the event of the cross and its role in making eternal life available to believers. And in 4:21-23, in the context of Jesus’ conversation with the woman at the well where he offers “living water” to her, we find the phrase “the hour is coming and is now here.” This time construct, when understood with reference to the Mediterranean view of time, implies a present event with forthcoming outcomes. The gift of living water/spirit and the “worship in spirit and truth” promised in 4:23 are outcomes of Jesus’ coming into

<sup>345</sup> Against Howard-Brook (1994: 325) who takes 7:39 to mean quite literally that the spirit “*did not exist*” (his italics) before Jesus’ glorification.

<sup>346</sup> Brown (1966/70, v.1: 324). Byun (1992: 189f.) distinguishes between the *activity* of the spirit before Jesus’ glorification, and the *reception* of the spirit by believers after that event. The latter experience of the spirit was one of abiding and permanence, which was unlike any prior experience of the spirit.

<sup>347</sup> Hooke (1962-63: 378-379). See 1 Cor 15:45 and 2 Cor 3:17 for expressions of a similar understanding in Paul.

<sup>348</sup> In expositions of this passage, this phrase is used by many commentators who apparently find it useful for distinguishing the “old” experience of the spirit before Jesus with the experience he made available (see Hooke [1962-63: 379], Woodhouse [1964: 311], and Porsch [1974: 65-66]).

<sup>349</sup> Porsch (1974: 71).

the world to make the patronage of God available to believers, but they will not be “received” until after Jesus’ glorification, as 7:39 makes clear.

At 7:37-39 spirit is again called living water. This living water is not life itself, but the water which leads to eternal life (cf. 4:14). Just as literal water is not in itself life, but is a precondition to life, so the living water Jesus provides constitutes a precondition to eternal life. Likewise, having the spirit, or being “born of spirit” does not equal eternal life, rather it allows access to the kingdom of God, or eternal life (3:5). As we have argued, 6:63 does not equate spirit with life, but expresses that only the one from the spirit realm can provide access to that realm which is eternal life. Jesus provides living water in the mode of a broker. Though the recipient of this benefit must “go through the broker” by coming to Jesus and believing in him, the benefit of living water ultimately issues from God. Drinking of living water involves passing from the merely earthly realm into the God realm by being “born of spirit,” and thus becoming one of God’s children. As we found in our discussion of chapter three, where spiritual birth opens up the possibility of receiving eternal life, and as in chapter four, where one reads that living water [spirit] will become “a spring of water gushing up to eternal life” (4:14), and as in chapter six where the spirit is called the “life giving one” and Jesus speaks the words of one who represents the realm of “spirit and life,” so here we find that spirit denotes the life-producing water to which Jesus provides access. This living water/spirit Jesus brokers qualifies believers for entrance into the realm of God and eternal life by allowing them a new ascribed honor status as children of God.

It is significant that a clear foreshadowing of Jesus’ gift of spirit to believers occurs at the point in the Gospel where the lines are being starkly drawn between those who support Jesus and those who seek to kill him. Here we see the dualism of acceptance and rejection just beginning to heighten, though Jesus has not ceased to proclaim his message to the crowds.<sup>350</sup> In the context of a festival where the Israelites are celebrating and recalling Moses’ water miracle in the desert, and looking forward to the abundant waters to be provided by a future messiah who will repeat Moses’ greatest miracles, Jesus sets himself up as the replacement of Moses and the fulfillment of all the Israelites’ thirsts and longings. This leads to further division among an already divided crowd (7:12, 43-44). In contrast to those who pledge their allegiance to Moses and await a future reiteration of his water miracle, those who remain loyal to Jesus are promised “rivers of living water” in the present age, an outpouring of spirit. The Evangelist presages that those who are remaining faithful to Jesus despite the mounting opposition of “the world” will be rewarded with spiritual birth and the benefit of eternal life.

<sup>350</sup> Schnackenburg (1980/82, v.2: 152).

1.6. *Baptism, water, and spirit.* In 1:33 we read that Jesus “baptizes with the holy spirit,” which seems to foreshadow a conferring of spirit to others by Jesus. But picturing *how* this activity of baptizing with spirit might happen proves difficult. Perhaps 7:38 could illuminate the meaning of 1:33. Essentially, Jesus proclaims himself as the fulfillment of a scriptural prophecy that “rivers of living water will flow out of his belly.” We have argued that the fulfillment of this prophecy is portrayed at 19:34, where “water and blood” flow out of Jesus’ pierced side, making spirit available to believers. Then after his resurrection, Jesus confers the spirit to the disciples for the first time (20:22). Could this progression of the “pouring out of the spirit” by Jesus be the “baptism with spirit” 1:33 references? It does seem to be. “Baptism” appears to be employed metaphorically in 1:33 as a way of describing Jesus’ giving of living water/spirit to believers. Jesus is pictured baptizing at one point in the narrative (3:22), although 4:2 contradicts this.<sup>351</sup> Yet even if it was clear Jesus had a baptizing ministry in John, 7:39 would rule out the possibility that Jesus literally conferred the spirit through baptism. There the Evangelist clearly states that spirit was not available to the believers until after Jesus’ glorification. Furthermore, we have demonstrated that “born of water and spirit”(3:5) does not mean spiritual birth comes through, or in association with, literal baptism. We conclude that “baptism” in 1:33 metaphorically symbolizes the effusion of living water, or spirit, which Jesus was to pour out for believers. Water and the activity of “pouring out” were commonly employed metaphors for spirit.<sup>352</sup> Therefore, in a narrative where John’s baptism contrasts with Jesus’ outpouring of spirit to believers, baptism (like “living water” elsewhere) presented itself as an apt metaphor for Jesus’ “gift.” Thus, the prediction in 7:38-39 of “rivers of living water” flowing from Jesus’ belly, its fulfillment in 19:34, and the conferring of spirit to the disciples in 20:22 after Jesus’ resurrection, together function as the confirmation of the words of 1:33, that Jesus is the one who baptizes with the holy spirit. Rather than associating the bestowal of spirit with the occasional event of baptism, either by Jesus or believers, the Evangelist depicts the bestowal of spirit as a once-for-all gift from Jesus. In John, Jesus never grants his disciples the ability to confer spirit to others. At the cross Jesus made spirit available to believers in a

<sup>351</sup> It is interesting how the Evangelist lets this contradiction stand. It would seem that in mentioning the baptizing activity of the disciples while they are with Jesus, the Evangelist affirms the practice of baptism by Jesus’ followers, while at the same time decidedly separating baptism from the bestowal of spirit by Jesus. On the other hand, the Evangelist *couldn’t* have had Jesus conferring the spirit through baptism during his ministry, since the spirit could not be given until after Jesus’ glorification. But if the Evangelist had wanted the spirit to be conferred via water baptism, he could have portrayed Jesus as literally baptizing the believers after his glorification, and bestowing the spirit on them in that fashion. Since he chose to depict Jesus as breathing on them and telling them to “Receive holy spirit,” it seems he was not interested in associating the bestowal of the spirit with water baptism.

<sup>352</sup> See Isa 44:3; *Gen Rab* 70:8; 1QS iv20.

way never before experienced, and after his glorification, he breathes on the disciples and they receive holy spirit. Clearly the Fourth Evangelist envisioned a community of believers in which all members had equal access to spirit. Still, the disciples of Jesus *are* given the task of “boundary maintenance,” of releasing and retaining sins and thereby delineating who is in and who is out of the community.<sup>353</sup> The implications of this sort of boundary maintenance prove far reaching, for if a person is excluded from the community of the spirit, one is essentially cut off from the spirit as well. At least this constitutes the most obvious conclusion and probably that of those who took on the task of “forgiving and retaining sins.” But as we will see in our study of 1 John, where there are secessionists who seem to claim possession of the spirit, it was possible for persons to dissent against such a system.

1.7. *Why is spirit not mentioned after 7:39 until the Farewell Discourses?* Before we conclude this chapter on the spirit sayings in John exclusive of the Farewell Discourses, we are compelled to ask this question: why is spirit not mentioned in John’s chapters 8 to 13? This absence presents a challenge, for it is always easier to account for why writers say what they *do* say, than to account for their silences. Still, we wish to venture an answer to this question. Chapters seven to eight of John do signal a cusp in the career of Jesus. 5:18 is the first allusion to the desire of the Ἰουδαῖοι to kill Jesus. Yet their bellicosity does not become a focal point until chapter seven, where it begins to escalate. In 7:1 we are told Jesus did not wish to go to Judea because of the plot of the Ἰουδαῖοι to end his life; in v.7 Jesus informs his brothers that the world hates him; in v. 19 Jesus accuses the crowd of looking for an opportunity to kill him, a plot which receives confirmation in v.25; in v.30 it is said, “they tried to arrest him” but failed; in v.44 some in the crowd “wanted to arrest him, but no one laid hands on him”; and in v.45-49 the chief priests and Pharisees excoriate the temple police for not taking Jesus when they had their chance. All of these verses evidence a culmination of resentment toward Jesus in chapter seven of John, a culmination which reaches its climax in 8:59 when, after Jesus’ provocative statement, “Very truly, I tell you, before Abraham was, I am” (v.58), the Ἰουδαῖοι make their first attempt to stone him.

Chapters seven to eight of John signal a decided stiffening of opposition to Jesus. Concomitantly, at this stage in the Gospel, one senses a polarization of Jesus’ enemies and his followers.<sup>354</sup> While chapters one to seven of John feature scenarios in which Jesus explains his mission

---

<sup>353</sup> See §1.1.3., our exegesis of 20:22.

<sup>354</sup> Schnackenburg (1980/82, v.2: 151-152).



and wins followers, the focus in chapters eight to thirteen progressively shifts, and the rejection of Jesus, along with his slow march toward Golgotha grip the reader with foreboding and anticipation. The sayings on the spirit preceding chapter eight deal with the new reality believers will experience as those who are born of spirit. It could be, then, that mention of the spirit trails off at chapter eight because there the focus begins to shift from Jesus' proclamation of the new reality he makes possible, to his fate at the hands of those hostile to the realm of God. By chapter eight Jesus has already made his offer of salvation to those who will receive him as God's broker, and his offer has been rejected by the world. The rejection of the world becomes the focus in chapters eight to thirteen (though Jesus continues to draw disciples here and there, ch 9, 10:42; 11:45), therefore, the spirit, a key benefit Jesus will broker only to his followers, recedes into the background. Similarly, the primary benefit Jesus brokers, eternal life, receives mention only three times in chapters eight to thirteen (10:28; 12:25, 50), and the word "life," where it means eternal life only three times (8:12; 10:10; 11:25), though these terms appear redundantly (27 times) earlier in the Gospel. We conclude that the spirit does not appear in chapters eight to thirteen because the focus in those chapters is more on the smoldering opposition to Jesus than on his offer of benefits from God. Understandably then, when the narrative advances to focus directly on Jesus and his followers in the Farewell Discourses, the spirit comes back into view.

## 2. Summary

In the spirit sayings we have studied, the spirit predominately designates that which is of the realm of God (4:23-24); spirit associates certain figures in the Gospel with God and serves a purpose of legitimation. The spirit abides on Jesus, signifying him as God's own Son (1:34) and as the bearer of the benefit which his potential clients need, namely spirit. Jesus will be the one who confers it (20:22). In contrast to John who baptizes in water, he baptizes in spirit (1:33, 7:37-39; cf. 19:34). Spirit plays a role in the contrasting of Jesus, as the one who has come from the spirit realm, with earthly brokers like John and Moses who can only speak about "earthly things" (3:31-34), and who have never seen God (1:18; 6:46). One such broker is Nicodemus. To him Jesus proclaims the necessity of divine means of brokerage. Spirit birth is what opens up the possibility of receiving the benefit of eternal life (3:5), and this is made possible as a benefit/gift from God brokered through the Son, who has descended from



heaven (3:11-16; 6:63). People cannot attain spiritual birth, and thus eternal life, on their own, for fleshly birth itself does not qualify one to enter into a patronal relationship with God (3:6-8; 4:23-24). Summarily, in John's spirit sayings outside of the Farewell Discourses: 1) spirit legitimates certain persons, especially Jesus, by associating them with the God realm; 2) spirit is a benefit which Jesus confers to those who believe in him, and 3) those who receive spirit are born anew as God's children, and are thus able to receive the full range of benefits of God's patronage.

The use of brokerage as a tool of analysis in our study of the spirit passages in John outside of the Farewell Discourses has helped us to appreciate fully the competitive context of John's spirit sayings up to this point. What distinguishes Jesus in the Gospel is not primarily his words, or revelation, as Porsch's work suggests, but his unique ability to provide access to eternal life to all who receive him because he is the true representative of the spirit realm. This is a competitive claim. We have found little to suggest that Jesus's words are the source of spirit, or that spirit is encountered in those words, *contra* Porsch.<sup>355</sup> Rather the abiding presence of the spirit with Jesus serves to legitimate him as the only one who can proffer heavenly benefits, which *include* heavenly words, but also eternal life, healing, and spirit itself. Burge seems to follow Porsch in his interpretation. He opines, "Jesus is a revealer who has seen into and exposed the very heart of God. The experience of this revelation brings spirit and life."<sup>356</sup> We would agree with this statement if Burge was saying that spirit and life are benefits, ultimately from God, to those who accept Jesus as the one who makes God known. But Burge does not clearly distinguish between the spirit and Jesus. Burge goes on to blur the distinction between them, writing:

The Spirit is the life of Jesus. As in John's eschatology, where the Spirit assumes the features of Christ, so here, Christ is "spiritualized." This relation obscures the distinction between Jesus and the Spirit such that pneumatology almost gets lost in christology, but the message that emerges is one of expectation... Jesus' own Spirit awaits release through the cross.<sup>357</sup>

Exegesis of the spirit passages outside of the Farewell Discourses does not, however, indicate that spirit and Jesus are coterminous, or that the spirit is "Jesus' own Spirit." These claims are unwarranted with reference to the spirit saying in the Gospel proper.

Understanding Jesus as a broker competing with other brokers has been of assistance in sorting out the relationship between Jesus and the spirit in these sayings, a relationship which remains

---

<sup>355</sup> Porsch (1974: 200-201).

<sup>356</sup> Burge (1987: 110).

<sup>357</sup> Burge (1987: 110).

unclear in the aforementioned interpretations. The spirit is not Jesus' own spirit, but is the divine spirit, or the spirit given from God (1:32-33; 3:34), which rests on Jesus as a signifying presence, and is the benefit which Jesus' potential clients will need in order to enter the realm of God. The spirit and Jesus are distinguishable. Furthermore, understanding the brokerage element in John helps one to appreciate how having access to spirit sets Jesus apart from earthly brokers. Since spirit birth is necessary for one to be able to receive the benefit of eternal life or entrance into the kingdom of God (3:5), it is clear why it was critical that Jesus be able to confer spirit. But Jesus also brokers the other benefits of God's patronage which are available to those who have undergone spiritual birth. Prominent among those other benefits is eternal life. This proves to be good news for those who have accepted Jesus, and, furthermore, means that all other avenues of brokerage to God are ineffectual. John's pneumatology in this portion of the Gospel thus also serves the function of legitimating the Johannine Christians against their opponents with their alternate, "earthly" means of brokerage to God.

## Chapter Four

### The Paraclete in John

#### 1. The Meaning of παράκλητος

1.1. *Pre-Johannine usage of “παράκλητος”.* The word παράκλητος surfaces rarely in the Greek corpus prior to the Fourth Gospel.<sup>1</sup> The verbal and adjectival forms of the word prove more common, though even the adjectival forms are sparingly employed.<sup>2</sup> Our goal in this section is to investigate the meaning of the noun παράκλητος in the Greek literature prior to its usage by the Fourth Evangelist.<sup>3</sup> For this reason we will largely confine our inquiry to the references from the few centuries prior to John’s composition. We will not consider the use of the term by early Christian writers because of the influence which John’s usage of παράκλητος may have had on them.<sup>4</sup> We are concerned with what the word could have meant to the Fourth Evangelist when he alighted upon it and embraced it to convey his unique understanding of the spirit in the Farewell Discourses.<sup>5</sup>

An occurrence of παράκλητος in Job 16:2 (LXX) constitutes our only biblical example of pre-Johannine usage of the word. There παράκλητοι is used in rendering the Hebrew word “רַחֲמָנִים.” The NRSV translates the term “comforters.” It appears in a passage where Job addresses his “friends” who

<sup>1</sup> A *Thesaurus Linguae Graecae* search shows the word occurring in no more than fifteen passages prior to and including the 1st c. C.E., not including the occurrences in John and 1 John. An exception to these dates is the passage from Diogenes Laertius, but there the word παράκλητος occurs in a saying by Bion Borysthenes who dates to the 3rd c. B. C. E..

<sup>2</sup> The verbal variations of the word are usually translated “summon,” “intercede,” “encourage,” or “exhort” in the Loeb series, and the adjectival forms of the word are usually translated “hortatory,” “exhorting,” or “provocative.”

<sup>3</sup> A similar study of the meaning of παράκλητος was published by Kenneth Grayston in 1981, though he did not limit himself to pre-Christian references or to references antedating John. Grayston argues convincingly that the word was by no means a technical legal term but had a more general meaning of someone who stood in support of another. He mentions that the term bore a connotation of patronage. Unfortunately, Johannine scholars have taken little notice of his findings. More unfortunate still is the fact that in his subsequent work (1984 and 1990), Grayston allows the patronal connotations of the word παράκλητος to go unemphasized. He thereby fails to maximize the force of his 1981 work. In his commentary on John (1990: 122) he only briefly alludes to the patronal meaning of παράκλητος and takes the term to mean a “supporter” in a more general sense. Moreover, he does not directly draw implications from the patronal meaning of παράκλητος in interpreting the Paraclete passages, although he does acknowledge the Paraclete’s role of providing access to God. In his commentary on 1 John (1984: 57-58) he incorporates his 1981 work more thoroughly, but likewise mentions the meaning of παράκλητος as patron only in passing.

<sup>4</sup> On interpretations of the Paraclete in the Church Fathers, see Casarella (1983).

<sup>5</sup> Therefore we do not deal with the use of “paraclete” as an loan-word in rabbinic sources, for all such occurrences date after the mid-2nd cent. C. E.. See Grayston (1981: 75-77) for an analysis of these occurrences. He finds that the meaning of “*peraqlit*” in rabbinic writings had the meaning of one who stands in support of another. However, in rabbinic usage, the context of that support is more often a legal context, i.e. appearance before accusers or before the judgment of God, than in earlier Greek usage. The “paracletes” in these passages are usually angelic intermediaries or one’s good deeds. In one rabbinic occurrence, in the story of the Pharaoh’s daughter rescuing baby Moses (*ExR* 18:80b), the meaning of “*peraqlit*” seems to be patronal. The “*peraqlit*” is an influential person who acts in her favor to assure that she can keep the baby.

are supposed to be supporting and helping him in his time of need, and are failing miserably at the task. Here the word παράκλητος has a non-forensic connotation of one who comforts and helps another in a general sense.

Our earliest known usage of παράκλητος turns up in Demosthenes, an Athenian orator from the fourth century BCE.<sup>6</sup> In a speech before a jury of Athenian citizens, Demosthenes encourages the jurors not to be swayed by the “party spirit” of “the people who were accosting and annoying” them earlier at the jury selection proceedings (“the casting of lots”) in hopes of using “private entreaty and personal influence” to pressure them into deciding the case in the defendant’s favor. He appeals to their sense of justice, reminding them, “justice and the oath concern yourselves and the commonwealth, whereas the importunity and party spirit of παρακλήτων serve the end of those private ambitions which you are convened by the laws to thwart, not to encourage for the advantage of evil-doers.” The word “πράκλητοι” here denotes individuals mediating on behalf of the defendant, Aeschines, attempting to win him leniency with the jury. Though the context of the passage is forensic, the παράκλητοι who strive to use personal influence on behalf of Aeschines, do not play a formal forensic role. Their influence, that of “private entreaty,” lies outside of the courtroom. According to Demosthenes, these παράκλητοι seek to occlude the course of justice by persuading the jurors to decide the case before the trial even begins. Demosthenes avers that the “party spirit” of these παράκλητοι is antithetical to justice and truth. These individuals appear to function as brokers for the defendant, seeking to win Aeschines, their client, the benefit of clemency from the jury. As a parallel scenario, consider Pliny’s<sup>7</sup> remarks when he is recounting the difficulties of a particular case: “You will easily conceive the fatigue we underwent in speaking and debating so long and so often, and in examining, assisting, and confuting such a number of witnesses; not to mention the difficulties and annoyance of withstanding the private solicitations, and public opposition of the defendants’ friends.”

If we are to assert that Demosthenes’ παράκλητοι function as brokers, we must address the argument of Paul Millett,<sup>8</sup> who posits that in democratic Athens (ca. 462-322 B. C. E.) patronage was “a minor social phenomenon, with minimal political and economic implications.”<sup>9</sup> While his argument that poor citizens were less reliant on patrons for support in democratic Athens than elsewhere may be

<sup>6</sup> Demosthenes (1971: 247; *De Falsa Legatione*, section 1).

<sup>7</sup> Pliny, *Epistles* 3: 9.

<sup>8</sup> Millett (1989).

<sup>9</sup> Millett (1989: 36).

valid, he does not succeed in demonstrating that patronage was “avoided” in classical Athens in general. His definition of “personal patronage” seems to be limited to the financial dependence of the poor upon the wealthy. Yet, studies of patron-client relations show that the benefits of patronage range wider than mere financial survival. Millett’s own study provides several examples of people who seek benefits from those who have access to the benefits they are seeking. Such a seeker might be called a κόλαξ (a flatterer) or a φίλος (a friend). However, Millett does not view the presence of “flattery” and “friendship” as evidence of widespread patronage. But the line between friendship and patronage is usually blurred. Even reciprocal exchanges between friends of completely equal social status often evolve into unequal “friendships” (or patron-client relationships) where one party is seen to be indebted, and thus inferior, to the other.<sup>10</sup> Finally, Millett does not account for the plight of non-citizens in Athens who surely would have benefited from patronage to a marked degree and whose stories would not be represented in our sources.

Another use of the word παράκλητος appears about one hundred years after Demosthenes. It occurs in a saying of Bion Borysthenes (3rd century BCE), recorded by Diogenes Laertius in his *Vitae philosophorum*.<sup>11</sup> Bion is recorded as telling “an importunate talker who wanted his help”: “I will satisfy your demand if you will only get παρακλήτους and stay away yourself.” In other words, Bion wanted this presumably irritating supplicant to send intercessors or mediators to come retrieve his assistance rather than the supplicant himself. It appears these παράκλητοι would be acting as brokers on behalf of Bion’s client, helping him to attain access to the benefits of the patron, Bion.

A reference from the *Allegories of Homer* by Heraclitus<sup>12</sup> again characterizes a παράκλητος as a broker. In a story in which Hermes, the personification of eloquence, accompanies Priam on a visit to Achilles in which Priam must dispel the anger of Achilles, Heraclitus writes, “...so strongly prevailed the logos, interpreter of the passions, which Homer sent to Priam as παράκλητος of his entreaty...”<sup>13</sup> In this story, the logos which is sent to Priam as παράκλητος plainly serves as a help to Priam. The παράκλητος functions to facilitate the relationship between Priam and Achilles, and the meaning of παράκλητος again has no forensic flavor. The help of the παράκλητος, logos, enables Priam to attain what he needs from Achilles. The logos brokers the deal as “παράκλητος of his entreaty.” Significant in this

<sup>10</sup> See Herman (1987: 39), Boissevain (1966: 23), Pitt-Rivers (1971: 154), and Campbell (1964: 23).

<sup>11</sup> Diogenes Laertius (1980: 428; Book 4, 50: 3-5).

<sup>12</sup> Héraclite (1962: 66; *Allegories* 59,9).

<sup>13</sup> English translation by Grayston (1981: 72).

passage is the association between the *logos*, a divine mediator, and the term *παράκλητος*. The Fourth Evangelist fashions this same kind of association.

Dionysius Halicarnassus (1st century BCE) provides a tragic account in his *Roman Antiquities* of a litigation to decide the fate of a girl who had become the obsession of the magistrate, Appius Claudius. Appius, desperate to gratify his pernicious desire for the girl, calls on his client Marcus Claudius to do him a favor. In collusion with Appius, Marcus Claudius claims the girl was born to one of his slave women while she was in the service of his late father. Since he is now the owner and master of the slave woman, he demands custody of the girl, whom he asserts should also be under his control. He does so in order to apprehend the girl for his patron, Appius. The girl's family and friends, indeed many of the citizens of Rome who can see through Marcus Claudius' insidious story, demand justice for the girl. Following a speech of the magistrate, Appius, in which he argues in favor of Claudius, "all who were unprejudiced and ready to be *παράκλητοι* for those who plead the cause of justice held up their hands to heaven and raised an outcry of mingled lamentation and resentment, while the flatterers of the oligarchy uttered their rallying cry that was calculated to inspire the men in power with confidence."<sup>14</sup>

In this passage *παράκλητοι* is used to denote people standing in support of another, in this case, the girl. They express their outrage at Claudius' demand for her, and Appius' support of Claudius. Furthermore, they are "ready to be *παράκλητοι* for those who plead the cause of justice," indicating they strive to use their collective voice to influence the ruling of the magistrate. These *παράκλητοι*, the crowd, include the girl's family and "friends," who voice their anger and grief on behalf of the victim. Here the word *παράκλητοι* does not have a forensic meaning, though it is used in a forensic context. The *παράκλητοι* are identified as a collectivity, a crowd, precluding the characterization of these *παράκλητοι* as formal court officers. Neither does the word *παράκλητοι* have a blatantly patronal connotation, although the crowd is contrasted in the passage with the clients of Appius who are obligated to applaud his decision and voice their approbation. The crowd could function as a broker for the girl in the sense that they attempt to use their "pull," in this case public pressure, to sway the decision of the magistrate on her behalf. It could be significant that the girl's "friends" are mentioned, since "friend" often bears a patronal connotation.<sup>15</sup> However, brokers usually represent some of the interests of both parties between whom they mediate, which is not the case here. In this passage the *παράκλητοι* are said to endorse the

<sup>14</sup> Dionysius Halicarnassus (1950: Book XI, 37: 1).

<sup>15</sup> See Adkins (1963), Campbell (1964), Brunt (1965), Boissevain (1966: 22), Hutter (1978), Rist (1980), Saller (1982: 8-11), and Price (1989).



side of justice, rather than the side of injustice, as in the speech by Demosthenes. Incidentally, the story has a disastrous ending. Appius predictably grants Claudius permission to take the girl. So her father pleads to have one last embrace of his daughter while she is still a free woman, and to do so in private. When this request is granted, he steals her away to a nearby butcher shop and plunges a knife into her heart, crying “I send you forth free and virtuous, my child, to your ancestors beneath the earth.”<sup>16</sup>

The remaining uses of παράκλητος all appear in Philo. Significantly, the word occurs in no less than ten passages from Philo. Moreover, in many of those passages, the brokerage connotations are explicit. This proves especially important considering the oft-noted affinities between Philo and the Fourth Evangelist, who were contemporaries of one another.<sup>17</sup> The usage by both authors of some of the same symbols, such as light, water, and shepherding forms one of the most striking similarities between Philo and the Fourth Evangelist.<sup>18</sup>

In his *On Creation* Philo writes, “Now God, with no παρακλήτω to help Him (who was there beside Him?) determined that it was meet to confer rich and unrestricted benefits upon that nature [of the universe] which apart from Divine bounty could obtain of itself no good thing.”<sup>19</sup> The meaning of παρακλήτω in this passage recalls the meaning of the passive participle form of the word, παρακεκλήμενος, which means “having been called alongside of.” God does not need to call someone alongside of him for help in creation. The thoroughly non-forensic meaning of παρακλήτω here denotes a helper or supporter.

In another passage from *On Creation* Philo uses the noun παράκλητος more specifically. Here παράκλητος is directly linked with persuasion. Philo explains, in language characteristic of his highly patriarchal culture, how Pleasure has control over women, who are governed by the senses, rather than over men, who are governed by Reason. Consequently, it is Eve who becomes the prey of Pleasure and who, subsequently, “cheats with her quackeries the sovereign mind” of Adam. Philo elucidates how this is accomplished, writing, “...for when each sense has been subjugated to [Pleasure’s] sorceries, delighting in what she proffers, the sense of sight in variegated colours and shapes, that of hearing in harmonious sounds, that of taste in delicate savours, and that of scent in the fragrance of perfumes which it inhales, then all of them receive the gifts and offer them like handmaids to the Reason as to a master, bringing

<sup>16</sup> Dionysius Halicarnassus (1950: Book XI, 37).

<sup>17</sup> For a study of the relationship between Philo and the Fourth Evangelist, see Dodd (1960: 54-73).

<sup>18</sup> See Dodd (1960: 54-73).

<sup>19</sup> Philo (1929: 19; *De opificio mundi*, 23).

with them Persuasion to plead that it reject nothing whatever (παράκλητον ἐπαγόμενα πειθῶ περὶ τοῦ μηδὲν ἀπόσασθαι τὸ παράπαν). Reason is forthwith ensnared and becomes a subject instead of a ruler.”<sup>20</sup>

Here the παράκλητος, Persuasion, acts not only as an assistant of the senses but as an influential force between the seductive senses and the prey, Reason. The παράκλητος functions to “persuade” Reason to give the senses what they want. In this sense Persuasion, the παράκλητος, serves as a broker. However, as in the Dionysius Halicarnassus passage, the παράκλητος does not represent the interests of both parties, since the subjugating of Reason by the senses through the assistance of the Persuasion cannot be viewed as serving the interests of Reason. This is a non-forensic passage in which a παράκλητος performs the tasks of a rhetorician, and in a limited sense, those of a broker.

The connotation of brokerage is overt in our next example of παράκλητος in Philo. Philo tells the story of Joseph’s fortuitous meeting with his brothers in Egypt in his text *On Joseph*. In this familiar story, instead of disclosing his identity to his brothers immediately, Joseph strings them along for some time in order, according to Philo, to test their loyalty to their youngest brother Benjamin. Finally, however, when the brothers’ affections for Benjamin prove to be fervent, the time comes for Joseph to reveal who he is. Astonished and speechless at the discovery of Joseph’s identity, the brothers fall to the ground, presumably in fear. But Joseph consoles them saying, “Be not downcast... I forgive and forget all that you did to me. Do not ask for any other παρακλήτου. Of my own free, unbidden judgment I have voluntarily come to make my peace with you.”<sup>21</sup> The brothers do not need a mediator between themselves and Joseph, for he willingly absolves them and, in so doing, extirpates the gulf between them. Joseph’s assumption that the brothers will feel they need a παράκλητος is indicative of a cultural understanding that estranged parties must have a broker to mediate between them. Interestingly, one of the chief functions of a *wasta*, or broker, in contemporary Middle Eastern society is providing mediation between the families of victims and perpetrators of accidents or crimes, and this outside of legal proceedings.<sup>22</sup> Brokers generally represent the interests of both parties, facilitating an exchange of resources to the benefit of both sides. In this passage, Joseph freely gives to the brothers the resources they need, forgiveness and peace. It was not necessary for another individual to broker the deal. Here the word παράκλητος has an unambiguous brokerage connotation. The meaning and context is non-forensic.

The next passage is of great consequence in relation to the Gospel of John. Philo describes the

<sup>20</sup> Philo (1929: 131; *De opificio mundi*, 165).

<sup>21</sup> Philo (1935: 255; *De Josepho*, 239-240).

<sup>22</sup> Cunningham and Sarayrah (1993: 8-9).

high priest as needing “the Father’s Son” as a παράκλητος. Now the notion of sonship was used in speaking of the Logos, for the Logos is that which issues forth from God in the way a son issues from his father.<sup>23</sup> And in Philonic thought, the Logos functions as the mediator of access to God. As Dodd explains:

[The Logos] is the agent of God’s gifts...to the world... In all respects the Logos is the medium of intercourse between God and this world. As some of the later Old Testament writers sought to avoid saying that the transcendent God had direct dealing with men, and spoke of His angel or His name, so Philo calls the Logos by such biblical terms as ἄγγελος (ἀρχάγγελος) and ὄνομα θεοῦ. It is this that mediates between God and our world.<sup>24</sup>

In our passage Philo insinuates that the Logos, the Father’s Son who brokers access to God, is a παράκλητος. The full passage reads: “For he [the high priest] who has been consecrated to the Father of the world must needs have παρακλήτω (as a Paraclete) that Father’s Son with all His fullness of excellence to plead his cause (παρακλήτω χρῆσθαι τελειοτάτω τὴν ἀρετὴν υἱῶ πρός), that sins may be remembered no more and good gifts showered in rich abundance.”<sup>25</sup> In more than one way this non-forensic passage exudes hints of a brokerage concept. Here the Logos, “the Father’s Son,” is depicted as critical to the exchange of resources between the Father [God] and the high priest. The brokerage of the Logos proves essential to the acquisition of the good gifts and to the forgiveness of sins. The Father and humanity appear to be disconnected and estranged; they are of disparate spheres which must be mediated. Brokerage best characterizes the role of the παράκλητος, Logos, in the exchange of resources between these spheres. And it should be noted that the Logos in this passage does not merely work as a messenger for God, bringing God’s word to humanity, rather the Logos actively represents the interests of the high priest. Finally, in relation to John, it is fascinating to note the characterization of the Logos as son of God and broker of God in Philo.

Another instance of παράκλητος appears in Philo’s *Special Laws*, where Philo conveys the lawgiver’s directions for a person who has intentionally deceived another or committed robbery, lied under oath by claiming innocence, and then been let off by his accusers, *but* who later feels guilty for his sin and seeks to rectify his actions. Philo outlines various prescriptions including the following: “And when he [the wrongdoer] has thus propitiated the injured person he must follow it up, says the lawgiver, by proceeding to the temple to ask for remission of his sins, taking with him as his irreproachable

<sup>23</sup> Dodd (1960: 67-68).

<sup>24</sup> Dodd (1960: 68).

<sup>25</sup> Philo (1935: 515; *De vita Mosis*, Book II, 134).

παράκλητον the soul-felt conviction [ἔλεγχον] which has saved him from a fatal disaster, allayed a deadly disease, and brought him round to complete health.”<sup>26</sup> Here the ἔλεγχον of the sinner serves as a mediator between himself and God, procuring him salvation from further disaster because of his sin. His ἔλεγχον is his irreproachable παράκλητος, a broker allowing him to come before God and offer him a sacrifice in exchange for the resource he needs, which is the remission of his sins. The sinner is not brought before God in a trial context. Rather he comes to seek forgiveness from God because of his own conviction, which *saves* him facing judgment in the courtroom of heaven. Though the context of the passage is a legal discussion about the consequences of wrongful action, the lawgiver recommends that this particular scenario be dealt with out of the courtroom. The offender must prove his repentance by propitiating the injured person and then by going to God and offering propitiation. Both means of reparation are social and not forensic. They indicate the avoidance of legal proceedings, not the use of them.

In *On Rewards and Punishments*, Philo uses παράκλητος as a mediator between God and the Israelites. In this case Philo speaks of three παρακλήτοι who mediate on behalf of the dispersed children of God as they return to the land of Palestine. “Three παρακλήτοις they have,” he says, “to plead for their reconciliation with the Father.” The first of these παρακλήτοι is the kindness of God, the second the holiness of their race, and third is “the reformation working in those who are being brought to make a covenant of peace.”<sup>27</sup> In this passage the παρακλήτοι function to bring Israel back to right relationship with God. The sense of the passage is social, not forensic.

The word παράκλητος occurs five more times in Philo, all within his text entitled *Flaccus*. Space does not allow us to delineate the complex story of Flaccus so as to provide a full context for the relevant passages. However, we can offer the information necessary for a general understanding of the passages: Flaccus became prefect of Alexandria during the reign of Tiberius Caesar. Upon Tiberius’ death, and during the fifth year of his prefectship, Gaius Caesar (“Caligula”) took over as Emperor. Flaccus feared Gaius and sought assistance through his “friendship” with Macro, who was “all-powerful with Gaius,” since it was largely due to Macro’s praises of Gaius that Tiberius had spared Gaius’ life.

In *Flaccum*, section 13: “Deceived by these [Macro’s] representations Tiberius unwittingly left behind him an implacable enemy [Gaius] to himself, his grandson, his family, Macro the παρακλήτω and

<sup>26</sup> Philo (1937: 239; *De specialibus legibus*, Book I, 237).

<sup>27</sup> Philo (1939: 419; *On Rewards and Punishments*, 166).

all mankind."<sup>28</sup>

Shortly after becoming Emperor, Gaius' loyalties for Macro soured and he had his entire household killed, an action not uncharacteristic of the increasingly obdurate ruler. Flaccus also became a target of Gaius' prolific hatred. Therefore, after learning of Macro's death, Flaccus became more and more debilitated by his terror, to the point of irrationality. It was in this state that his "counselors" decided to use his power and instability to carry out an abhorrent plot against the Ἰουδαῖοι of Alexandria. They told Flaccus:

*In Flaccum*, section 22-23: " 'Lost are your prospects from the boy Tiberius Nero, lost too the hope that you had next to him in your comrade Macro, and your expectations from the Emperor are anything but favorable. We must find you a really powerful παράκλητον to propitiate Gaius [the Emperor]. Such a παράκλητος is the city of the Alexandrians which has been honoured from the first by all the Augustan house and especially by our present master; and intercede [παρακλητεύσει] it will if it receives from you some boon, and you can give it no greater benefaction than by surrendering and sacrificing the Ἰουδαῖοι."<sup>29</sup>

So to win the support of the leaders of Alexandria before Gaius,<sup>30</sup> Flaccus acquiesced in their proposal and proceeded to launch a campaign against the Ἰουδαῖοι in which many were viciously murdered. But Flaccus came to be punished for his crimes. He was stripped of all possessions and honor and was exiled, paraded out of Rome in disgrace.

*In Flaccum*, section 151-52: "For [Flaccus] was to be exiled to the most miserable of the Aegean islands, called Gyara, had he not found a παρακλήτω in Lepidus who enabled him to exchange Gyara for Andros, the island which lies nearest to it."<sup>31</sup>

Gaius' enmity for Flaccus continued to boil, however, even despite his absence.

*In Flaccum*, section 180-81: "[Gaius] hated Flaccus especially, so much so that in his dislike of his name he looked askance at all who shared it with him. He was often seized with regret that he had condemned him to exile instead of death and censured his παράκλητον Lepidus, in spite of the respect which he had for him."<sup>32</sup>

Gaius devised a plan by which he could sate his lust for revenge against Flaccus. He declared that

---

<sup>28</sup> Philo (1941: 311; *In Flaccum*, 13).

<sup>29</sup> Philo (1941: 315; *In Flaccum*, 22-23).

<sup>30</sup> Box (1939: xxxix).

<sup>31</sup> Philo (1941: 385; *In Flaccum*, 151-152).

<sup>32</sup> Philo (1941: 399; *In Flaccum*, 180-181).

banishment of criminals was too light a sentence for some, for it was no more a punishment than “living abroad.” So he made a list of the most notable criminals in exile, and ordered that they be found and put to death. Flaccus’ name topped the list, and he was indeed hunted down and murdered in a most brutal way.

The passages in *Flaccus* prove highly significant for an understanding of the meaning of παράκλητος in Philo. In *Flaccus* Philo calls different individuals, as well as the city of Alexandria, παράκλητοι, and we believe it should be clear, in reading these passages, that these παράκλητοι function as brokers. They win access to certain benefits from a patron on behalf of their client. On certain occasions their persuasive ability was powerful enough even to shunt the actions and instincts of the Caesars. These παράκλητοι are not court officials who represent the interests of a defendant in a forensic setting. Rather they have connections to both the patron and the client and use their connections and influence to get the client what he needs from the patron.

#### 1.2. *The meaning of “παράκλητος”.*

In the various occurrences of “παράκλητος” prior to the Gospel of John the term usually carries a connotation of “mediator” or “broker,” with the glaring exceptions being the passages in Job and Philo’s *On Creation*, sec. 23, where the term bears the meaning of “helper” or assistant. In the passages in Dionysius Halicarnassus and Philo’s *On Creation*, sec. 165, the παράκλητοι do function in a limited sense as mediators, but their role does not match up with the model of brokerage in that they seem to serve the interests of only one party. Still, the majority of the texts we have studied reveal that the function of the παράκλητος is essentially mediatorial. In several of the texts, the παράκλητος stands in the gap between two parties, where one party possesses some sort of benefit to which the other party needs access. And in most of the passages, the element of inequality between the two parties stands out. Furthermore, in these texts it is the function of the παράκλητος to bridge the divide between the more and less powerful, facilitating access to the benefits required by the less powerful party, while not disrupting the balance of the relationship between the two parties. The παράκλητος bridges the divide between them while still maintaining separateness. The qualities of παράκλητοι in those texts where the παράκλητοι represent the interests of both parties, reflect those of a broker. In the majority of our texts, the παράκλητος seeks to provide access to different kinds of benefits, but the issue of mediating access to *something* is the common



thread running through all the texts studied, with the exception of Job and Philo *On Creation*, sec. 23. Therefore, there is relative continuity in the meanings of “παράκλητος” in the Greek usages of the term antedating John.

Often παράκλητοι persuade potential patrons to make certain resources available to their clients. Yet the persuading done by these παράκλητοι has a non-forensic sense. The task of persuading is encompassed within their role as broker, since the παράκλητοι must persuade the more powerful party to make certain benefits available to the “deprived” party. This sort of persuasion constitutes a crucial part of what brokers do. Moreover, as our παράκλητος texts have demonstrated, a παράκλητος can represent the side of either truth or falsehood, and can use either truth or falsehood in efforts to persuade a patron to make certain benefits available to his or her client. Perhaps this is why the Evangelist deemed it necessary to align bluntly the Spirit-Paraclete with the side of truth, calling it the “Spirit of Truth.” In so doing he distinguishes the Spirit-Paraclete from certain other παράκλητοι, who supposedly represent falsehood.

The ancient authors we have read do not seem to give “παράκλητος” a forensic meaning. Even where the context of the narrative is forensic, the παράκλητος does not play a formal forensic role. The παράκλητοι are not portrayed as advocates in the court but as persons striving to use their connections and “influence” to sway those involved in the formal court proceedings. Even though it was not uncommon for patrons to represent clients in court, such activity is not depicted in these passages. In Demosthenes, “παράκλητοι” denotes powerful individuals among the crowd striving to persuade the jurors to decide in favor of their client before the trial has even commenced. In the passage from Dionysius Halicarnassus, the crowd serves as supporters for the victimized girl in trying to exploit public pressure to persuade Appius Claudius to halt his malicious plot.

We submit that in most of the texts we have studied the word “παράκλητος” would be best translated “mediator” or “broker.”<sup>33</sup> A final decision on whether or not this translation is appropriate in John’s Farewell Discourses must be deferred until our exegesis of the Paraclete-Spirit of Truth passages is complete. But the usage of the word antedating John certainly does not predispose one to translate the word with a legal term like “advocate.” Considering that there is actually *no* evidence of παράκλητος being used as a formal forensic term prior to the Gospel of John, it is amazing how long New Testament

---

<sup>33</sup> Grayston (1981) is on the right track in concluding that “παράκλητος” should be translated “patron” or “supporter” in most instances. Much earlier, Findlay (1909: 117) suggested the usefulness of the concept of patronage for understanding the term “παράκλητος.”

scholarship has taken for granted that παράκλητος has a juridical sense.<sup>34</sup> Though many of these scholars concede this meaning is not evident in each occurrence of παράκλητος in John, they generally assume the Evangelist (or less likely, Jesus) took up a primarily forensic term and used it in a broader sense.<sup>35</sup> Because most scholars assume the Greek term “παράκλητος” had legal overtones, and because they also recognize that most of the Johannine usages of παράκλητος do not bear a forensic meaning, many have been forced to conclude that the title and tasks of John’s Paraclete are not analogous.<sup>36</sup>

This has resulted in a tendency toward other, non-linguistic, means of analyzing the Johannine Paraclete. The focus of such endeavors has been on the “concept” of the Paraclete, as delineated by John, and its religious-historical origins. For example, Bultmann, developing the theory of Bauer, found the Paraclete to be based on the Mandaean “helper,” who descended from the “place of light” to provide enlightened persons with spiritual guidance and assistance. Bultmann qualified Bauer’s theory by suggesting that the Paraclete parallels Yawar, the most eminent of the Mandaean helpers, of which there are many.<sup>37</sup>

Bornkamm, an opponent of Bultmann’s theory, believes the Paraclete to be the glorified Jesus in the role of the Old Testament fulfiller or perfecter, who fills the void left by the departure of a significant figure.<sup>38</sup> Examples of such successors/fulfillers would be Joshua, who succeeded Moses, and Elisha, the successor of Elijah. Significant for the study of John is the centrality of spirit in these forerunner-fulfiller relationships. Both Joshua and Elisha receive spirit from their forerunners (Deut 34:9; II Kings 2:9-15). Bornkamm asserted that the relationship between John “the Baptist” and Jesus, as well as that between Jesus and the Paraclete was based on the OT typology of the forerunner and fulfiller.

Mowinckel locates the origins of the Paraclete concept in the Israelite concept of divine intercessors or mediators.<sup>39</sup> He notes that in later Israelite tradition, such a figure was associated with

---

<sup>34</sup> This point was made by Grayston (1981), though it has largely been unheeded. Grayston provides a broad listing of lexicons and commentaries which translate the word “παράκλητος” forensically (see p.67-70). See also Wotherspoon (1922/23), Barrett (1950: 8, 1978: 462), Dodd (1960: 414), de la Potterie/Lyonnet (1971: 57), Bultmann (1971: 568), Porsch (1974: 222-227), Witherington (1995: 252), Dietzfelbinger (1997: 209). Bauer’s lexicon (1979: 618), on other hand, notes that the word “παράκλητος” rarely has legal overtones, and wisely provides more general definitions, such as “mediator” and “helper.”

<sup>35</sup> For example, Behm (1964-76, v.5: 803-804), Burge (1987: 7, 30), and Wijngaards (1988: 55, 61).

<sup>36</sup> Burge (1987: 7). Franck (1985: 10) distinguishes the “hiatus” between the title and functions of the Paraclete as one of the premiere problems for interpreters.

<sup>37</sup> Bultmann (1971: 570-572).

<sup>38</sup> Bornkamm (1967: 71).

<sup>39</sup> Mowinckel (1933).

the spirit (*TestJud* 20:1f.; *Wis* 1:7-9).<sup>40</sup> In drawing on the divine intercessor concept for his depiction of the Spirit-Paraclete, the Fourth Evangelist ascribed to the spirit both revelatory and forensic tasks.<sup>41</sup>

According to Müller,<sup>42</sup> Israelite “farewell discourses,” in which prominent Israelite leaders would settle the affairs of their offspring before their deaths, provided a paradigm for the First Farewell Discourse in John.<sup>43</sup> In Israelite “farewells,” which Müller located mainly in intertestamental literature, the departing party often leaves behind a spirit-filled representative to teach, exhort, and comfort those remaining. Müller believes the Paraclete constitutes such a figure.<sup>44</sup>

Other religious-historical perspectives on the Paraclete include that of Betz, who asserts that the Paraclete/Spirit of Truth is the archangel Michael, so prominent in Qumran literature.<sup>45</sup> The Qumran documents feature a struggle between light and darkness (*I QS* 3:18f.), with all humanity falling on either side. Those of the light follow the Spirit of Truth, while the Spirit of Falsehood governs those of darkness. In the War Scroll, the archangel Michael leads the forces of light while Belial steers the forces of darkness (*I QM* 13:9-12; 17:6-8), suggesting to Betz the identification of Michael with the Spirit of Truth in John.<sup>46</sup> According to Betz, the Fourth Evangelist took up this Spirit of Truth/Michael association and applied it to Jesus, the ultimate mediator between God and God’s children. After Jesus’ glorification, the Spirit-Paraclete replaces him as the believer’s advocate in the battle between truth and falsehood.

Against this view, Johnston contends the Evangelist knew certain people were connecting the angel Michael with the Spirit of God and, further, that they were allowing Michael to usurp the supremacy of Jesus; therefore the Evangelist decidedly combats this notion by closely aligning the spirit with Jesus.<sup>47</sup> Johnston understands the spirit to be an empowering force for believers, who in turn function as “paracletes.”<sup>48</sup>

Alternatively, some scholars have opted to understand the Johannine Paraclete with reference to its functions. Boring, for instance, notes that the tasks of the Paraclete are all speech-oriented. He

---

<sup>40</sup> Mowinckel (1933:104-109).

<sup>41</sup> Mowinckel (1933: 124-130).

<sup>42</sup> Müller (1974).

<sup>43</sup> Winter (1994) also finds the Johannine Farewell Discourses to be of this genre.

<sup>44</sup> Müller (1974: 52-65, 75).

<sup>45</sup> Betz (1963: 154).

<sup>46</sup> Betz (1963: 113-114, 147-160).

<sup>47</sup> Johnston (1970: 119-122).

<sup>48</sup> Johnston (1970: 127-148, esp. 128). See our Chapter 2, §1.2. .

therefore concludes that the Spirit-Paraclete has been cast in the role of a prophet who passes along the words of Jesus to believers.<sup>49</sup> More specifically, Boring believes the Spirit-Paraclete is conceptualized as the empowering force behind prophets active in the Johannine community. Along similar lines, Barrett examines the Paraclete in terms of the cognate words, παρακαλέω and παράκλησις (though these words do not appear in John), and decides that the Paraclete is the “Spirit of Christian paraclesis,” or Christian preaching, who declares to the church “the things of Jesus.”<sup>50</sup>

Porsch stresses the continuity between the Gospel’s portrayal of spirit as revelation and the characterization of the Paraclete. As discussed earlier, the Paraclete’s functions of teaching and reminding are central for Porsch.<sup>51</sup> He understands “παράκλητος” to be a forensic title, and believes that, in the Farewell Discourses, the spirit assumes the role of Paraclete for the time following Jesus’ departure. The Spirit-Paraclete both witnesses inwardly to believers on behalf of Jesus, and serves as support for the disciples. According to Porsch, the Spirit-Paraclete’s forensic title and function are integrally related to his teaching and reminding, or “revelatory,” functions, for when the Paraclete witnesses for Jesus he is providing Jesus’ revelation to his followers.<sup>52</sup>

According to Raymond Brown, the Paraclete is an expression of the Fourth Gospel’s “realized” eschatology, since the Paraclete functions as the presence of Jesus with believers after his return to the Father.<sup>53</sup> Brown believes the figure of the Paraclete addresses the problems of the Beloved Disciple’s death and the delayed parousia.<sup>54</sup> In lieu of these challenges to the faith of the community, the Fourth Evangelist compelled his followers to see the return of Jesus as a present reality through the person of the Paraclete. Like Brown, Burge finds the “christological” paradigm of the Paraclete to be central. In his view, the person of Jesus dictates both the character and activity of the Paraclete to the point that an encounter with the Spirit-Paraclete becomes an encounter with the risen Christ.<sup>55</sup>

In a recent study on the Paraclete, Franck notes how the majority of Paraclete studies single out one specific background from the history of religions against which to understand the Paraclete, as is evidenced above. Franck cites this as a major error of these studies.<sup>56</sup> He takes an integrative approach

---

<sup>49</sup> Boring (1978).

<sup>50</sup> Barrett (1950: 12-15, esp. 14).

<sup>51</sup> Porsch (1974: 257f., 299f.).

<sup>52</sup> Porsch (1974: 322-324).

<sup>53</sup> Brown (1966-67: 126-132).

<sup>54</sup> Brown (1966/70, v.2: 1142-1143).

<sup>55</sup> Burge (1987: 41). See our Chapter 2 §1.3. .

<sup>56</sup> Franck (1985: 10).

in seeking to explain John's Paraclete, an approach we will describe in more detail. Franck sees a hiatus between the Paraclete's functions and the title *παράκλητος*, which he understands to have forensic affiliations though he believes interpreters have overstressed that it is a technical forensic term. However, he believes the trial motif running throughout the Gospel establishes coherence with the forensic title. His approach in interpreting the Paraclete integrates this forensic dimension with a didactic/revelatory dimension and a dimension coming out of the Israelite farewell-discourse tradition.<sup>57</sup> And like Barrett he adduces the meaning of the words *παρακαλέω* and *παράκλησις* to delineate the meaning of *παράκλητος* in John, concluding that the Paraclete integrates the functions of comforting, teaching/preaching, and prophecy.<sup>58</sup>

What most interests us about Franck's study is his insistence that these functions derive from the Paraclete's role as mediator to Jesus.<sup>59</sup> Still, when he addresses the question of where this characterization of the Paraclete as mediator came from, he finds his explanation in one specific background, in the synagogal figure of the Methurgeman,<sup>60</sup> seemingly committing the same error he found in other studies. While he concedes that it cannot be proven that this figure was the actual historical background for John's Paraclete, he does hold that the Methurgeman *represents* the synagogal way of interpreting scripture and the synagogal mode of mediation, and that this constitutes the actual historical background of John.<sup>61</sup> Finally, he asserts that the functions of the Paraclete are experienced through certain disciples who perform those functions, and that the Beloved Disciple represents and embodies the Paraclete to the Johannine community.<sup>62</sup>

Lastly we mention Malina and Rohrbaugh. Though theirs is not a study of Johannine pneumatology, and though the interpretations of the Paraclete in their commentary are by no means elaborated on, their work deserves mention. These authors note the importance of brokerage both to the characterization of Jesus,<sup>63</sup> as well as to that of the Paraclete. They view the Spirit-Paraclete as continuing Jesus' role as broker for the Johannine community, linking them to Jesus as Jesus links them to

---

<sup>57</sup> Franck (1985: 19-21).

<sup>58</sup> Franck (1985: 19-29-36).

<sup>59</sup> See Franck (1985), esp. pp. 42, 48, 67-68, 83f., 138.

<sup>60</sup> Franck (1985: 132).

<sup>61</sup> Franck (1985: 133).

<sup>62</sup> Franck (1985: 95).

<sup>63</sup> For example, see Malina and Rohrbaugh (1998: 115-121).

God.<sup>64</sup> Since they opt not to expound on this relationship in their commentary,<sup>65</sup> there is ample space for a study such as ours which does.

It is apparent that John's Paraclete has prompted multifarious interpretations and little scholarly consensus. Our study will differ from many of the studies mentioned, in that our focus will not be on the specific origin of the Paraclete figure or concept, but on its function for the author and his audience, and on the meaning of the Paraclete in their socio-cultural context. Scholars who have argued that the Johannine Paraclete originated with a specific figure or specific figures in the history of religions, such as the Mandaen helper(s) or the angel Michael, have not been widely convincing. Our study will show how the Paraclete functions as a broker, and how the characterization of the Paraclete as a broker can account for the various tasks attributed to him, without necessitating a dichotomy of functions, with revelatory tasks on one hand and forensic tasks on another. Our thesis challenges the view that παράκλητος is a forensic title, a view which has led to an assumption of discontinuity in the title and tasks of the Paraclete. Still we take the title seriously and do not resort to explaining the noun "παράκλητος" using verbal or adjectival forms of the word. Furthermore, the use of the brokerage model will prove to be helpful in explaining the relationship between Jesus and the Paraclete more clearly than past studies, such as those of Porsch or Burge, have done.

On that note we turn our attention to the Farewell Discourses.

## 2. Exegesis of the Paraclete-Spirit of Truth passages in the Johannine Farewell Discourses

### 2.1. *The First Farewell Discourse.*

Scholars generally agree that the "Farewell Discourses" of John, which arguably run from 13:31 to 17:26, belong to a later stage of the Gospel's composition. Less agreement prevails, however, with regard to the structure and composition of the various sections constituting the Farewell Discourses.<sup>66</sup> The curious "seam" at 14:31 compels most scholars to somehow distinguish the composition of 13:31-14:31 from

---

<sup>64</sup> Malina and Rohrbaugh (1998: 241).

<sup>65</sup> It receives one short paragraph (Malina and Rohrbaugh[1998: 241]).

<sup>66</sup> Woll (1980: 225). An accessible summary of the dominant theories of sequence and composition can be found in Segovia (1982b: 115-118). See also Segovia 1991 (pp. 25-47).



that of chapters 15 to 17, especially since John 18 would follow naturally upon 14:31. We agree with these general conclusions. But theories about the structure and composition of the discourses will not receive extensive attention in this study. Our goal is to exegete the discourses containing spirit sayings, while being attuned to ways in which the various discourses coincide or contrast with one another. We will turn our attention to issues of structure and composition as it becomes necessary in the course of our exegesis.

The words “Do not let your hearts be troubled” in 14:1 and 14:27 constitute an “inclusio” bracketing the first Farewell Discourse, with verses 13:31-38 forming an introduction and verses 14:28-31 a summary.<sup>67</sup> The theme of Jesus’ departure and return dominates the entire Farewell Discourses, and that theme is articulated most forcefully in 14:1-28a.<sup>68</sup> Jesus’ impending physical absence drives the discourse,<sup>69</sup> and the exhortation to “believe!” sums up Jesus’ words to the disciples, for to those who believe he will return. That the Evangelist devotes so many words to the distress caused by Jesus’ departure, and to placating the disciples’ fears, signifies that the physical absence of Jesus had developed into a monumental issue for the Evangelist and his community. In the following we will discuss possible reasons for this concern. At any rate, the first Farewell Discourse, like many Johannine discourses, follows a pattern of “statement-misunderstanding-clarification,”<sup>70</sup> with the disciple’s obtuse questions propelling the discourse as Jesus moves toward greater clarity.

Jesus begins the discourse by reassuring the disciples that though he is going away they need not be troubled, for he will come again and take them to himself. He goes to “his Father’s house,” a traditional allusion to heaven,<sup>71</sup> and will prepare “*μῶναι* (dwellings)” for the disciples there. The language employed by Jesus in 14:1-3 is widely recognized as traditional language originally denoting heaven and referring to the parousia when Jesus would return to take the disciples to a heavenly home.<sup>72</sup> There are three reasons for this: 1) Not only does “his Father’s house” allude to heaven, but the word “*μῶναι*” can connote heavenly rooms in Israelite literature (*1 Enoch* 39:4; *2 Enoch* 61:2; *TestAbr.* 20:12-14

---

<sup>67</sup> See Becker (1971), Porsch (1974: 240), Woll (1980: 226), and Segovia (1985).

<sup>68</sup> Dodd (1960: 403), Schnackenburg (1980/82, v.3: 59), Segovia (1985: 472f.,484), Witherington (1995: 248), Gundry (1967: 69).

<sup>69</sup> Segovia (1991: 81).

<sup>70</sup> Malina and Rohrbaugh (1998: 229-230).

<sup>71</sup> See Philo *De somniis* 1:256; Eccl 5:1-2.

<sup>72</sup> See Dodd (1960: 404), Brown (1966/70, v.2: 625), Becker (1971: 221), Barrett (1978: 456-457), Woll (1980: 226-228), and Burge (1987: 144-145).

(A)).<sup>73</sup> 2) Synoptic eschatology expresses notions similar to those of Jn 14:2: disciples can expect to receive heavenly “habitations” (Lk 16:9) or heavenly “thrones” (Lk 22:29-30; cf. Mk 10:40). 3) The wording of 14:3, “I will come again and will take you to myself,” seems to echo Paul’s language in 1 Thess 4:17, a passage probably expressing the current belief about Jesus’ return and reunion with his disciples at the time of its composition.<sup>74</sup> Paul writes: “Then we who are alive, who are left, will be caught up in the clouds together with them to meet the Lord in the air; and so we will be with the Lord forever.” These resonances of traditional eschatological formulations in 14:1-3 lend credence to the putative view that a traditional saying lies behind the passage.

Yet scholars are equally convinced that the Fourth Evangelist, in adopting the saying, has extensively reworked it.<sup>75</sup> Early in John, in 2:16-21, Jesus uses the phrase “my Father’s house” to refer to the Temple, which is then immediately reinterpreted as “the temple of his body.” For the Fourth Evangelist, Jesus is the locus of God’s presence on Earth, both as the true temple, and as the way in which disciples can “dwell” with God on Earth, in anticipation of their heavenly dwellings (see 1:14).<sup>76</sup> Likewise in 14:23 we find that the Evangelist reinterprets traditions about the Father’s house to the effect that Jesus and the Father will make a home with the disciples while they are still in the world. The Evangelist also reinterprets the concept of “parousia.” Jesus does promise to “come again” (14:18, 23), but not in order to usher his disciples to heaven. He comes to be present with them on Earth. The traditional nature of the saying at 14:1-3, along with the extensive and original development of the saying in the direction of a “realized eschatology” warrants the interpretation that the Evangelist has stated and then reworked a traditional saying in this first Farewell Discourse.

But if the Evangelist so liberally reworks the statement in 14:1-3 about the traditional expectations of the parousia and the future dwelling of the disciples in heaven, why does he bother to use the traditional saying at all? This question defies a sure answer. Still, it seems reasonable to conclude that he would not have used it if he disagreed entirely with the notion of a “future eschatological” return of Jesus and the notion of heavenly dwellings for the disciples. Therefore, we

<sup>73</sup> Bultmann cites *Ethiopian Enoch* 39:4; 41:2 and *Slavonic Enoch* 61:2.

<sup>74</sup> Dodd (1960: 404).

<sup>75</sup> Dodd (1960: 404f), Barrett (1978: 457), Brown (1966/70, v.2: 626, 646), Becker (1971: 221f.), Woll (1980), Schnackenburg (1980/82, v.3: 62), Burge (1987: 138), de Boer (1996: 131), and Mathai (1996: 122-123).

<sup>76</sup> The majority of interpreters agree that in John the meaning of “μοναὶ” as heavenly dwellings has been replaced with a “spiritual” or “relational” meaning accordant with the Johannine verb “μένω,” to abide. See Brown (1966/70, v.2: 627), Gundry (1967: 70), Barrett (1978: 456, 466), Burge (1987: 145), Mathai (1996: 130). Becker (1971: 221-222), on the other hand, understands “ουοαὶ” quite literally as “dwellings.”

postulate that the Evangelist may have included the saying, while reinterpreting it, as a way of confirming the traditional view while, in the subsequent discourse, shifting attention to the way in which Jesus (along with the Father) would return to the disciples and dwell with them immediately after his departure.<sup>77</sup> The Evangelist desires his readers to understand that Jesus' is still, in a significant sense, present with them even after his departure, that he has "returned" to them already. But this does not demand he no longer accepts traditional beliefs about the parousia and heaven.<sup>78</sup> He just wishes to shift their focus to the present reality. Similarly, in 11:24, Jesus attempts to shift Martha's focus from the final resurrection to his own status as the already-present "resurrection and life." In doing so, he (or the Evangelist) is not denying that there will be a final resurrection. Interestingly, John 5:28-29 and 6:39-40 seem to express quite clearly a belief in such a resurrection.

A further issue we must consider is that the reinterpretation of Jesus' "coming again" could have two dimensions. Some scholars have argued that Jesus refers to his *resurrection* as the point at which he will come to the disciples (v.18).<sup>79</sup> Yet the phrase "I will not leave you orphaned," in 14:18 implies a more permanent presence with the disciples than the resurrection appearances. Though Jesus does indeed come back to them after his departure/death at the occasion of his resurrection, and the disciples "see" him as promised, the evanescent nature of his presence with the disciples following the resurrection suggests that Jesus has something more in mind. Jesus' return involves him and the Father coming and "making dwellings" with the disciples (v.23). The same word used for "dwellings" here was used in 14:2. This implies that the traditional saying in 14:1-3 about heavenly dwellings has been reinterpreted along the lines that Jesus "prepares a place for the disciples" and "takes them to himself" (v.3) by coming and making a permanent dwelling with them soon after his departure (v.23). This could not point to the resurrection alone,<sup>80</sup> though Jesus' return to the disciples (from his departure/death) is inaugurated with that event. Jesus' promises to return to the disciples and to, along with the Father, make a home with them, are fulfilled in quite another way. According to the majority of interpreters, the advent of the Paraclete/Spirit of Truth initiates the fulfillment of these promises.<sup>81</sup>

---

<sup>77</sup> Our interpretation is thus different from those of Becker (1970: 221-222) and Dietzfelbinger (1997: 97-105) who argue that the Evangelist has completely reinterpreted the traditional saying in favor of a thoroughly realized eschatology.

<sup>78</sup> Porsch (1974: 249).

<sup>79</sup> Bultmann (1971: 617-619) and Barrett (1978: 464).

<sup>80</sup> Brown (1966/70, v.2: 646).

<sup>81</sup> See Brown (1966/70, v.2: 643f.), Porsch (1974: 240-253), Woll (1980: 233f.), Schnackenburg (1980/82, v.3: 76f.), Burge (1987: 137f.), Wijngaards (1988: 66-67), de Boer (1996: 131-132), Mathai (1996: 124f.), and Rohls-Hoegen (1996: 105f.).

One can adduce many parallels between Jesus and the Paraclete, to the point it appears that Jesus and the Paraclete are one and the same. This has caused some scholars to more or less collapse Jesus and the Paraclete into one character, or to describe the Paraclete as “Jesus’ Spirit.”<sup>82</sup> But as we will see, their relationship is more nuanced than a simple equivalence. Brown has charted the following parallels between what is said in 14:15-17 about the coming of the Paraclete, and what is said in 14:18-21 about the return of Jesus:<sup>83</sup>

Figure 1.

	vv.15-17	vv.18-21
Necessary conditions: love Jesus; keep his commands	15	21
Giving of Paraclete; coming back of Jesus	16	18
World will not see Paraclete or Jesus	17	19
Disciples will recognize Paraclete and see Jesus	17	19
Paraclete and Jesus will dwell in the disciples	17	20

Burge expands on these parallels and demonstrates how the activities of the Paraclete mentioned throughout the Farewell Discourses align with those of Jesus throughout the Gospel.<sup>84</sup>

Figure 2.

The Paraclete	Christ
14:6 given by the Father	3:16
14:16-17 with, in, by the disciple	3:22; 13:33; 14:20
14:17 not received by the world	1:11; 5:53; (12:48)
14:17 not known by the world (only believers know him)	16:3; 8:19; 10:14
14:7 not seen by the world (only believers see him)	14:19; 16:16-17
14:26 sent by the Father	cf. chs. 5, 7, 8, 12
15:26; 16:7,13 he comes (from the Father into the world)	5:43; 16:28; 18:37
15:26 gives testimony	5:31ff.; 8:13ff.; 7:7
16:8 convicts the world	(cf. 3:19-20; 9:41; 15:22)
16:13 speaks not of self but of what is heard	7:17; 8:26ff.; 14:10
16:14 glorifies the Sender (Jesus/Father)	12:28; 17:1,4
16:13ff. reveals, discloses, proclaims	4:25; (16:25)

<sup>82</sup> See Wijngaards (1988: 70). Wijngaards rightly notes how the Paraclete addresses the problem of Jesus’ absence, but wrongly, we believe, concludes that the Paraclete must be Jesus in spirit form.

<sup>83</sup> Brown (1966/70, v.2: 644).

<sup>84</sup> Burge (1987: 141).

16:13	leads into the fullness of truth	18:37; 14:6
15:26; 14:17	is the Spirit of Truth; Jesus is the Truth	14:6; 16:13
14:16 (etc.)	a Paraclete	(14:16); 1 John 2:1

These compelling parallels between Jesus and the Paraclete indicate the two figures share a functional unity.<sup>85</sup> Many of the functions of the Johannine Paraclete are at some point in the Gospel ascribed to Jesus. And the resemblance between vv.15-17 of chapter 14 and vv.18-21 of the same chapter strongly reinforces the idea that the Paraclete's coming fulfills Jesus' promise to return or is, at the very least, portrayed as a stage in that fulfillment. The continuity between Jesus and the Paraclete is the most dominant feature of the Paraclete passages.<sup>86</sup>

In the context of reassuring his disciples about his impending departure, Jesus promises to send his followers "ἄλλον παράκλητον (another Paraclete)" (v.16),<sup>87</sup> apparently intending himself as the *other* Paraclete. The Paraclete whom Jesus will send fills many of the same functions as Jesus (see Figure 2). But it is not said that Jesus will cease to be a Paraclete, though most interpreters assume this to be the case.<sup>88</sup> The functional unity of Jesus and the Paraclete has led many to conclude that the Paraclete takes over the tasks Jesus did while on Earth, since Jesus will obviously not be able to continue his earthly ministry once he has returned to the Father, and therefore, that Jesus ceases to be a παράκλητος. We will examine this assumption further as our study proceeds. But for now we note the salience of the fact that the Paraclete continues the work and presence of Jesus.<sup>89</sup> This characterization of the Paraclete must be pivotal in our assessment of the spirit in the Farewell Discourses.

At 14:6, in response to Thomas' remark that the disciples do not know the way to where Jesus is going, Jesus responds, "I am the way, and the truth, and the life. No one comes to the Father except through me." He further explains that all those who know him, know the Father. This latter

statement, which implies a oneness between the Father and Jesus, like other such statements in the

<sup>85</sup> Franck (1985: 39-41) calls this a "continuity of tasks" and notes it does not entail that the Paraclete and Jesus are identical.

<sup>86</sup> Brown (1966-67: 126; 1966/70, v.2: 64f.), Porsch (1974: 243), Müller (1974: 48-49), Burge (1987: 137f.), Dietzfelbinger (1997: 216).

<sup>87</sup> It is also grammatically correct to render v. 16 "And I will ask the Father, and he will give you another, a Paraclete, to be with you forever." This translation would not imply that Jesus considered himself a Paraclete. However, we reject this translation for reasons which will become more clear in our impending exegesis. Mainly we reject it because the context of 14:16, as well as of the other Paraclete passages, thoroughly supports the idea that the Paraclete actualizes the presence of Jesus for the disciples and shares a functional unity with him. Therefore, a characterization of this new "sent one" as a Paraclete without an implicit characterization of Jesus as a Paraclete would defy the intended parallelism between the two figures. The majority of interpreters concur with our translation (Berg [1988: 132]).

<sup>88</sup> For example, Brown (1966/70, v.2: 644), Lindars (1972: 478), Woll (1980: 231-232), Schnackenburg (1980/82, v.3: 74-75, 140), Burge (1987: 141), and Dietzfelbinger (1997: 51).

<sup>89</sup> See especially Brown (1966/70, v.2: 643) and Burge (1987).

Gospel (8:19; 10:30; 14:8-11; 16:15; 17:11, 21; cf. 5:17-18), does not evince a trinitarian theology like that delineated centuries later at the Council of Chalcedon. The Fourth Evangelist expresses the oneness of Jesus and the Father in terms of their relationship to humanity, and does not primarily construct a metaphysical formulation.<sup>90</sup> Because Jesus does the works of the Father (5:19-21, 36; 9:3-4; 10:25, 32, 37-38; 14:10-11, 31; cf. 5:17) and speaks God's words to humanity (3:34; 8:28, 38; 12:49-50; 14:10, 24; 15:15; 17:8), people can experience and know God through him. From the perspective of humanity, to know Jesus is to know God, since Jesus essentially brings God to people. Yet this oneness of God and Jesus does not imply an ontological equivalence,<sup>91</sup> as the stress throughout the Gospel on Jesus' obedience to the Father makes clear (8:28; 10:18; 12:27, 49-50; 14:31; 18:11). In John, Jesus is the Son who shares an unrivaled closeness with the Father, God. This closeness allows Jesus to provide the faithful with unrivaled access to God.<sup>92</sup> Still, Jesus exists apart from and must be obedient to the Father. When one views Jesus' oneness with the Father from the perspective of believers' access to the patronage of God through Jesus, certain christological conundrums appear less problematic. For example, the oneness of Jesus and the Father, and the submission of Jesus to the Father are not as incongruous as sometimes assumed.

Before moving on with our exegesis, we must discuss another way that scholars have attempted to explain these elements in the christology of the Fourth Gospel. John's christological construction and "sent-language" has been viewed by some scholars with reference to Israelite conceptions of "agency."<sup>93</sup> Authors such as Bühner, Borgen, and Harvey attempt to show that the Evangelist was familiar with the technicalities of the Israelite practice of agency, and drew directly on this practice in characterizing the relationship between Jesus and God, the Father. The principles of "agency" as outlined in halakic literature (200 C. E.) include 1) the unity between agent and sender, for the agent acts as a representative of the sender to the extent that people experience the sender in their interactions with his or her agent; 2) the subordination of the agent to the sender; 3) the obedience of the agent to the will of the sender; 4) the task of the agent in representing the sender's interests in court; 5) the return of the agent to the sender; and 6) the appointing of other agents as an extension of the agent's mission in time and space.<sup>94</sup> Most of

---

<sup>90</sup> Brown (1966/70, v.2: 632).

<sup>91</sup> See Kuschel (1992: 388-389).

<sup>92</sup> Just as Pliny's fraternal alliance with Trajan allowed Pliny's clients to have access to the emperor they never would have enjoyed otherwise (de Silva [1996: 93-93]).

<sup>93</sup> See especially Bühner (1977) and Borgen (1987), also Harvey (1987), Evans (1993), and Thompson (1997: 223-231). Agnew's 1986 essay contributes to this discussion, though his interest is in sent-language in the New Testament in general.

<sup>94</sup> See Borgen (1987: 172-176).



these features of an agent according to halakic literature align well with Jesus' characterization in the Gospel. Yet we wish to add to this discussion by arguing that the Israelite agent is often times a broker, in that the agent provides a connection between a patron and client. And brokerage in the Mediterranean world during the Early Roman Empire extended far beyond Israelite "agency," which constituted but one expression of it. Noting that Jesus in many ways appears to be like an agent as agents are described in halakic literature, does not necessitate that the Evangelist either directly or indirectly derived his christology from Israelite agency.<sup>95</sup> The aforementioned features of the Israelite "agent" likely fit many brokers throughout the Mediterranean cultural context. We submit that the Evangelist characterizes Jesus as a *broker* based on his knowledge and experience of brokerage which he would have shared with other members of his culture. The Evangelist may indeed have known and experienced brokerage in the form of Israelite agency. But it is likely any person in Mediterranean culture during the Roman period was familiar with the workings of brokerage in many forms and in a variety of relationships. We cannot with any certainty assign the Evangelist's conception of Jesus as a broker to a specific expression of brokerage in Israel when it is probable that the aforementioned features of Israelite agent-sender relationships were not unique among broker-patron relationships throughout the Mediterranean world during our period. One characteristic that does seem to have distinguished the Israelite agent-sender relationship is that this broker generally functioned as a messenger, proffering authoritative words from his sender.<sup>96</sup> If Jesus were mainly characterized as a messenger in John, with his words being the main benefit he brokered, perhaps it would be more clear that the Evangelist envisioned him as an "agent." But though Jesus' words are an important benefit which he brokers from the Father, Jesus brokers many benefits besides messages from God. He brokers eternal life, living water/spirit, healing, the "works" of God, light (8:12), a place in the Father's house (14:3), answers to requests (14:13-14; 15:7-8, 16; 16:23-24), and peace (14:27). These are not the tasks of a "messenger." Jesus is not primarily a messenger in John, he is "the way" to the full range of benefits from the Father.

Moreover, the brokerage model as outlined in this study constitutes a better heuristic tool of analysis than does the model of agency as derived from halakic literature because it has been more extensively investigated. Brokerage has been widely observed by anthropologists throughout

---

<sup>95</sup> Though we do follow Anderson's (1989: 167) findings that John's portrayal of God as sender reveals influence of the Old Testament on the Evangelist.

<sup>96</sup> The agent's work as messenger is a key focus of Bühner's work (1977: 118-166, 285-313). See also Evans (1993: 137f.).

Mediterranean culture, as well as being detectable in ancient literature from that region. The examination of this data provides the basis for anthropological models of brokerage. Relationships and expectations can be more precisely delineated by brokerage than by agency because of its more developed and multi-faceted nature. For example, while agency illuminates the relationship between the sender and agent to a degree, brokerage can account for and explain a greater number of relationships and the complexity of those relationships. Significantly, brokerage allows clients to play a key role in the relationships under examination. Clients figure as critically into the patron-client model, of which brokerage is a variation, as do patrons and brokers. The interests and motivations of clients in seeking brokerage of certain benefits are accounted for, as are the interests and motivations of patrons in making those benefits available. Brokerage also improves on the model of agency as delineated in halakic literature because of the multifarious nature of brokerage “networks.” Many brokers may be involved in any transaction between a patron and his or her clients. Brokerage networks incorporate many brokers, each of whom can provide many clients with access to many different benefits from many different patrons (though, of course, brokerage relationships can also be much more simplistic than this).<sup>97</sup> While agency includes the aspect of “successor” agents who continue the mission of the first agent, it fails to account for the complexity of relationships involved in brokerage networks. A broker may indeed come to be succeeded by another broker after she can no longer provide the client with access to the right patron. A broker may even appoint a successor before his departure, as do Moses and Elijah. But since it does not benefit the broker much to appoint a successive broker, he would do this for the benefit of his clients or his patron. During his brokerage career, a broker would not want another broker to be able to provide access to his patron, for this would place the other broker in competition with him and could serve to render him redundant and unnecessary from the perspective of the client. As mentioned above, one of the key features of brokerage is exclusivity.

As stated in Chapter Three, the explanation of John’s sent-language using the model of “agency” results in an overemphasis on the authorization of the agent, and on the message. Yet the focus of John’s sent-language is on the intimacy between God and Jesus and on the fact that Jesus originated from the God-realm.<sup>98</sup> Related to this last point, we have found John’s sent-language to be competitive language, used in the setting of contests between brokers. In these contests, Jesus is not portrayed as the only “agent”

---

<sup>97</sup> See Boissevain (1966: 24-25, 31) and Davis (1977: 139).

<sup>98</sup> Schnackenburg (1995: 253-258).

who bears the authority of the sender, nor as the only one who brings words from God. Rather, he is portrayed as far superior to Moses or Jacob or Abraham because of his closeness to God, the closeness of a son to his father, and because of his origins “from above,” from God. Because of his origins, and because of his intimacy with God, Jesus is the only one who can provide *access* to God. The most glaring flaw of the agency model is that it cannot account for or explain this competition in the way the brokerage model can, nor does it explain the debate over who ultimately provides access to God. “Access” is a key theme of John’s christology. Since the brokerage model shows that a broker must make available exclusive access to a certain patron, and must represent both the interests of the client and the patron, must represent both “realms,” we are better equipped to understand the significance of Jesus’ characterization as the only one who has seen the Father and been sent “from above,” and as the only one who can be called God’s “Son.” Furthermore, the brokerage model makes clear why the claim that God has sent Jesus is repeatedly made in the context of a debate over who provides access to God. Jesus is the only one who can provide access to the realm of God because he is the only one who was sent from that realm. The Johannine sent-language is integrally bound up with this issue of access, an issue that is not adequately addressed by the agency model. For this reason, among others, the brokerage model proves to be a more helpful heuristic tool.

Finally, brokerage is more useful a model than agency for helping interpret the Gospel of John, not only because it more precisely describes the relationship between God and Jesus, but it also illuminates the role of figures like John and the Paraclete. In the Gospel they are allowed to be subordinate brokers in providing clients with access to Jesus, but are barred from providing ultimate access to God. The model of brokerage helps one to comprehend how their “missions” as brokers differ from Jesus’ and how the Evangelist can characterize John and the Paraclete as subordinate brokers while preserving Jesus’ exclusive role as broker to God. The “exclusivity” principle of brokerage demands that a broker be the only way for his clients to receive access to a particular patron. Yet other brokers can provide access to the broker who provides access to the patron. This is how brokerage networks function. Not only is the presence of subordinate brokers allowable by the “top” broker but it is felicitous to his work, for it allows him to extend his network of clients far beyond what he would otherwise be able. The role of the Paraclete as subordinate broker facilitates Jesus’ work as broker in that the Paraclete makes Jesus available to a vast number of clients after Jesus has departed and become separated from them in time and space.

This takes us back to our investigation of the First Farewell Discourse. At 14:6, Jesus calls himself “the way, and the truth, and the life.” “The way” apparently dominates the phrase, since it features in Thomas’ question in v.5 and lies at the heart of Jesus words in v.4, 6b-7.<sup>99</sup> Since the stress of the saying “I am the way, and the truth, and the life,” is on Jesus’ being “the way,” what is the relationship between “the way” and the other nouns in v.6, “the truth,” and “the life”? Some interpreters interpret v.6 to be saying: I am the way, that is, the truth and the life.<sup>100</sup> According to this view, Jesus is the way to the Father because he reveals the truth (“I am the truth”) and mediates salvation (“I am the life”). Others take v.6 to mean Jesus is the way *which leads to* truth and life.<sup>101</sup> Barrett expounds on this notion, writing, “because Jesus is the means of access to God who is the source of all truth and life he is himself the truth and the life for men.”<sup>102</sup> It seems to us that these interpretations are not mutually exclusive, but express very similar ideas. The first interpretation mentioned essentially propounds the idea that Jesus mediates truth and life, as does the second. Still, we believe the second interpretation to be less convoluted. Jesus reveals “truth” and brokers access to “life,” but ultimately both have their source in God, not in Jesus. Jesus is firstly “the way” and only as the way, or as God’s broker sent from above, does he provide the truth and the life. Yet from the perspective of humanity, who can only know God and participate in God’s patronage via Jesus, Jesus *is* truth and life.<sup>103</sup> 14:6 is a description of Jesus in his relationship to humanity and does not convey information about his ontological “essence.”<sup>104</sup>

The Fourth Evangelist stresses the insurmountable divide between God and humanity more than any other Evangelist. For him, “God is simply inaccessible in his transcendence.”<sup>105</sup> He makes certain to the reader that *no one* has ever seen God except the Son, sent from above (1:18; 6:46). In so doing he accentuates the dualistic division between the higher and lower “orders,” or between the realm of God

<sup>99</sup> Morris (1972: 641).

<sup>100</sup> Brown (1966/70, v.2: 621, 628f.), Schnackenburg (1980/82, v.3: 64-65), and de la Potterie (1986). See Lindars’ (1972: 472) similar interpretation.

<sup>101</sup> Dodd (1960: 404), Morris (1972: 641), Barrett (1978: 458), Witherington (1995: 249), de Boer (1997: 132), and the majority of patristic interpreters (See Brown [1966/70, v.2: 621] and Schnackenburg [1980/82, v.3: 65]). See also Bultmann (1971: 605f.) who contends that in Jesus the way and the goal coalesce. This is in fact the case, but requires Bultmann’s full explanation to the effect that Jesus is the truth and the life because he embodies truth and life for humanity. Humanity cannot directly access the Father, and thus truth and life, *except through* Jesus. Therefore, from the perspective of believers, Jesus is both the way to truth and life, and is that goal in himself, since it is in Jesus that God is present to believers.

<sup>102</sup> Barrett (1978: 458).

<sup>103</sup> Bultmann (1971: 605f.).

<sup>104</sup> Brown (1966/70, v.2: 630), cf. Dodd (1960: 178) and Bultmann (1971: 606-609).

<sup>105</sup> Haenchen (1984, v.2: 124, 143).

and the realm of humanity. As we have seen throughout the Gospel, Jesus is portrayed within this context as an ideal broker between the higher and lower orders. And in the Farewell Discourses, where the theme of Jesus' departure/return to the Father dominates, Jesus' brokerage role is boldly reasserted. In proclaiming to be the *only* way to the Father, Jesus topples all other purported means of attaining access to God. Indeed Jesus' brokerage role is not only underscored in 14:6, but throughout the Farewell Discourses. Jesus tells his disciples that those who believe in him (love him, keep his commandments, abide in him) will receive many different benefits from the Father, even after his departure: The Father will send them the Paraclete (14:16, 26, cf. 15:26, 16:7b), the Father will love them (14:21, 23), the Father will help them to bear fruit (15:2b), the Father will give them whatever they ask in Jesus' name (15:16; 16:23).

This emphasis on Jesus' being the only way to the Father, in the midst of a discourse dealing with Jesus' impending departure and the subsequent anxiety of the disciples, may suggest something about the situation behind the first Farewell Discourse. It may suggest that there were people in the Evangelist's community who were questioning whether Jesus could still function as the way to the Father after he had departed. The Evangelist's restatement of Jesus' role as exclusive broker to God seems to address such a concern. He seems to be reassuring his audience that Jesus would continue in his role as "the way" to God even after he had returned to the heavenly realm. This will be explored more below.

The first Paraclete saying in the Farewell Discourses appears at 14:16. In the preceding verses Jesus has been reminding the disciples, specifically Philip, that the Father has been made visible in him, that "I am in the Father and the Father is in me" (v.10). His focus then shifts to the benefits they will receive for believing in him: the disciples will be able to do the works he does, even greater works, and that requests made in his name will be granted. The promise that the disciples will do greater works than Jesus presents obvious problems for interpreters. How can it be said the disciples will do greater works than the Son of God who raised the dead and miraculously fed 5,000 men? V.12b has been viewed by one interpreter as a contradiction of the Evangelist's own view of Jesus as far superior to all other persons.<sup>106</sup>

But the greater works the disciples will do must be viewed in light of the next verse (v.13) which states that Jesus will do what the disciples ask in his name. The disciples' "greater works" are therefore

---

<sup>106</sup> Woll (1981: 91-92). Woll contends that "the picture of the disciples as agents of greater works than those performed by Jesus derives from the self-understanding of the leadership of... a community [of charismatic figures]" who view themselves as more authoritative than the earthly Jesus (p.91 92).



the works Jesus will accomplish upon their request after he has gone to the Father (in fulfillment of the “greater works” presaged in 5:20?). Just as the Father accomplishes his work through Jesus so that Jesus’ works *are* the Father’s work (10:37-38), so the disciples’ “greater works” are the works Jesus will accomplish through them.<sup>107</sup> The issue is not one of succession or hierarchy,<sup>108</sup> but of brokerage. Jesus’ works are not really his own, but are the works of God accomplished through God’s broker.<sup>109</sup> Likewise the works Jesus will accomplish at the disciples’ request are in actuality God’s works which Jesus brokers for them,<sup>110</sup> as a comparison of 15:16 and 16:23, 26-27 with 14:13-14 bears out. The fact that Jesus’ works are ultimately God’s works also explains why Jesus appeals to the disciples to believe in the unity between himself and God on the basis of his works (14:11). Elsewhere Jesus also appeals to his works as a basis for belief, not because he is encouraging disciples to have an inchoate signs faith, but because the works themselves point to Jesus’ position as God’s broker (see 5:36; 10:25, 38).<sup>111</sup> Since God accomplishes his work through Jesus, people should see and believe Jesus’ claims to be the broker of God, sent from above.

Jesus makes a further promise to the disciples:

If you love me, you will keep my commandments. And I will ask the Father, and he will give you another *παράκλητον*, to be with you forever. This is the Spirit of truth, whom the world cannot receive, because it neither sees him nor knows him. You know him, because he abides with you, and he will be in you (14: 15-17).

In John, to love Jesus and keep his commandments, or words (see 8:51f; 15:20; 17:6), means to believe in him, to believe he is who he has claimed to be.<sup>112</sup> Such faithfulness and loyalty are essential within the patron-client relationship. Those who exhibit such faithfulness to Jesus will be privileged with many benefits from the Father. But those who do not are disqualified from participating in the patronage of God and are thus incapable of experiencing its benefits. The Paraclete, or Spirit of Truth, introduced in 14:16, constitutes one such benefit. 14:16 functions to distinguish the disciples, God’s clients to whom the Paraclete will be sent, from the world who, because of their unbelief, cannot receive him.<sup>113</sup>

Johannine dualism between the realm of God and that of the world, which is epitomized at

<sup>107</sup> Bultmann (1971: 611), Schnackenburg (1980/82, v.3: 72).

<sup>108</sup> Against Woll (1981: 80f.).

<sup>109</sup> Ensor (1996: 240).

<sup>110</sup> Schnackenburg (1980/82, v.3: 72).

<sup>111</sup> Ensor (1996: 240-241).

<sup>112</sup> Schnackenburg (1980/82, v.3: 74) and Segovia (1985: 485, 489-90).

<sup>113</sup> See for example, Segovia (1985: 478-479; 1991: 97) and Porsch (1974: 245) who see polemic against the world in this discourse.



certain points in the Farewell Discourses, may provide the origin of the “Spirit of Truth” title used in association with παράκλητος in the Paraclete passages.<sup>114</sup> Though the title is found in 1 QS 4:21, where it identifies an agent of purification, and in 1 QS 3:18 where the “spirits of truth and injustice” denote angelic figures who accompany and influence human beings during their time on Earth, attempts to explain the Johannine title with reference to Qumran have not been convincing.<sup>115</sup> The Johannine Paraclete/Spirit of Truth is not an agent of cleansing, but primarily a mediator to Jesus, and is not characterized as an angel.<sup>116</sup> However, John does evince some similarity of thought with the community at Qumran, most notably in their shared dualistic perspective. That the title “Spirit of Truth” is first employed in conjunction with the phrase: “whom the world cannot receive, because it neither sees him nor know him,” signifies the Spirit of Truth stands alienated from the world, the realm of falsehood. The Paraclete receives the qualifier “Spirit of Truth” because he represents the realm of God, as distinguished from the world.<sup>117</sup> The Spirit of Truth is the spirit-representative of that realm who stands opposed to the spirit-representatives of the realm of the world. In this sense, the title “Spirit of Truth” functions as a competitive claim against other spirits, those which are false. Though the Gospel of John does not feature “spirits of falsehood,” it does feature God’s spiritual nemesis, characterized as “the ruler of this world” (12:31; 14:30; 16:11), “the devil” (8:44; 13:2; cf. 6:70), and Satan (13:27). And Judas, who is under the influence of Satan (13:2, 27), is characterized as a devil (6:70).

“Truth” plays a role in delineating between the world and the realm of God elsewhere in the Gospel, and it is the Gospel’s dualistic context which best accounts for the description of the Paraclete/Spirit as “of truth,” or as “the true spirit.” In speaking against the Ἰουδαῖοι, who represent “the world” throughout much of John, Jesus rails:

Why do you not understand what I say? It is because you cannot accept my word. You are from your father the devil, and you choose to do your father’s desires. He was a murderer from the beginning and does not stand in the truth, because there is no truth in him. When he lies, he speaks according to his own nature, for he is a liar and the father of lies. But because I tell the truth, you do not believe me. Which of you ἐλέγχει με περὶ ἁμαρτίας? If I tell the truth, why do you not believe me? Whoever is from God hears the words of God. The reason you do not hear them is that you are not from God (8:43-47).

Truth and falsehood are used in this passage to classify those who are from God and those who are from

<sup>114</sup> Müller (1974: 43).

<sup>115</sup> For example, Betz (1963) and Johnston (1970).

<sup>116</sup> Barrett (1978: 463).

<sup>117</sup> Berg (1988: 134).

the devil. Jesus' word is truth because he speaks the words of God; the words of the devil are lies. It is against this backdrop that we should understand the Evangelist's use of the title "Spirit of Truth." Calling the Paraclete the "Spirit of Truth" constitutes a competitive claim, characterizing the Paraclete as a representative of the God realm against the spiritual representatives of "the ruler of the world." In the terms of our model, the Spirit of Truth is the *good* Paraclete, the true broker, in comparison with the faulty brokers of the world who are unable to provide access to truth because they are not of God.

Furthermore, as will be seen in 16:13, the Spirit of Truth will guide the disciples "into all the truth" (16:13). The Paraclete receives the title "Spirit of Truth" not only because he represents truth in opposition to the false spirits of the world, but because he provides believers with access to "truth." And the truth to which he provides access is Jesus, who said of himself "I am the truth" (14:6), and concomitantly, Jesus' teaching, which for the Fourth Evangelist is the essence of "truth."<sup>118</sup> However, the Paraclete saying at 16:13, which will receive full attention in our next section, follows a passage in which the Paraclete confronts the world's falsehood. Therefore, the Paraclete's work of "leading the disciples into truth" has markedly dualistic overtones. He does not simply "teach" the disciples, but he "guides" them away from the falsehood of the world into the direction of truth.

That the Paraclete is indeed the spirit is disclosed by the use of the title "Spirit of Truth" and "Holy Spirit" in conjunction with him.<sup>119</sup> There is no indication that the Paraclete could be a significant *person*, such as the Beloved Disciple, who is conceived of as Jesus' successor.<sup>120</sup> Still, the Paraclete figure proves somewhat distinct from spirit elsewhere in John, as the introduction of the peculiar term παράκλητος portends. Nonetheless, we have noticed a point of continuity in the way the Paraclete represents the realm of God in the context of Johannine dualism. In this feature, the portrait of the Paraclete accords with that of spirit throughout John. The Evangelist employs spirit in the Farewell Discourses to differentiate between that which is of the earthly realm and that which is of God, as he does throughout the Gospel. An attribute of the Paraclete which distinguishes the Spirit in the Farewell Discourses from spirit elsewhere in John is the fact that the Paraclete is personified. Male pronouns are used consistently for the Paraclete/Spirit of Truth, even in 16:13 where the neuter "πνεῦμα τῆς ἀληθείας" (Spirit of Truth) appears without the male-gendered "παράκλητος." The personification

<sup>118</sup> See de la Potterie (1986).

<sup>119</sup> Kremer (1977: 254).

<sup>120</sup> As suggested by Sasse (1925) and Wijngaards (1988: 70-71). Similarly, Franck (1985: 90f.) submits that the Paraclete is experienced *through* certain disciples, and that the Beloved Disciple becomes the first fulfillment of the Paraclete promises (p. 95).

and gendering of the spirit in the Farewell Discourse issues from the integral union between Jesus and the Paraclete in these passages,<sup>121</sup> and from the Paraclete's anthropomorphic role as a broker/client.

Little is said about the Paraclete's activities in 14:16-17. This passage focuses on the disciples who, unlike the world, "know" the Spirit of Truth, because he abides with them and will be in them. The saying parallels v.18-21, where Jesus promises to reveal himself to the disciples, and constitutes its fulfillment. Jesus will be revealed in the Paraclete. But why does Jesus say the Paraclete "abides with" them [present tense] though the spirit is not actually available to them until after Jesus' glorification (7:39)? Probably this is due to the fact that the spirit abides with Jesus (1:32), therefore, the Paraclete abides with them in the present because Jesus abides with them, and will pass on the spirit to them. And Jesus' promise in v.20: "You will know that I am in my Father, and you in me, and I in you," relates to Jesus' promise that the Spirit of Truth will be *in* them. The preposition "ἐν" in 14:17 should be translated "in" rather than "among" because of this correspondence with v.20.

What does it mean for Jesus to be in the Father, the Father in Jesus, Jesus in the disciples, and the Paraclete in the disciples? Modern authors frequently use the word "indwelling" to denote this network of relationships, but the term proves vague and the meaning of the concept is seldomly explained in detail.<sup>122</sup> This "indwelling" seems strangely elusive. Sometimes the term even appears in conjunction with the word "mystical" or "mysticism,"<sup>123</sup> which conjures up a variety of images to a variety of different people. What does the Fourth Evangelist mean? Is he referring to a mystical union, a sort of esoteric inner presence, or, as Dodd suggests, to the most intimate of relationships, one characterized by love?<sup>124</sup> Does he have in mind a type of spiritual "possession," where a spiritual presence actually invades and takes over a person? Or does he apprehend the network of "being in" relationships between God, Jesus, Spirit, and believer from a practical point of view?

Elsewhere in the Gospel where the relationship of "oneness" between Jesus and the Father features, the focus falls on Jesus' unity with the Father in doing His works (10:37-38; 14:11), and further,

<sup>121</sup> Brown (1966-67: 126-128) and Burge (1987: 142).

<sup>122</sup> For example, see Dodd (1960: 197), Brown (1966/70, v.2: 643), Sanders/Mastin (1968: 330), Patrick (1970), Lindars (1972: 474f., cf. 482), McPolin (1978a), Barrett (1978: 463), cf. Schnackenburg (1980/82, v.3: 75-76), Woll (1980: 231, 235), Burge (1987: 138-139), and Mathai (1996). On the other hand, Schnackenburg does provide a fuller explanation of the Johannine concept of "indwelling" in 1992 (pp. 99-103). And Malatesta (1978) devotes an entire monograph to the issue. We will discuss his work more below. Appold's 1976 monograph on "oneness" in John is thorough, though his conclusions could be more clear (see pp. 280-294). Appold stresses that the oneness between Jesus and the Father should be characterized as "relational" and "revelational" rather than mystical. As he states, "the Father's oneness with Jesus is presented in terms of his sending the Son and the Son's oneness with the Father in terms of his coming as the manifestation of God among men" (p. 283). In this sense, Appold arrives at some of the same conclusions we do.

<sup>123</sup> See McPolin (1978a), Burge (1987: 139), Schnackenburg (1992: 102-103), and Mathai (1996).

<sup>124</sup> Dodd (1960: 199-200).

on the way Jesus' works should testify to his relationship with the Father. As we explained earlier, the functional unity of a broker and patron from the viewpoint of the client is at issue here. The "oneness" theme and John's "being in" language seem to be related (17:21-23). Yet John's "being in" notion seems to express more than a merely functional unity. In 17:11b, Jesus prays that God would protect the believers, "so that they may be one, as we are one." Apparently Jesus asks God to protect them from forces ("the evil one" 17:15) which would cause disunity or disloyalty among them, a key concern in Jesus' prayer.<sup>125</sup> And in 17:21-23, he prays:

As you, Father, are in me and I am in you, may they also be in us, so that the world may believe that you have sent me. The glory that you have given me I have given them, so that they may be one, as we are one, I in them and you in me, that they may become completely one, so that the world may know that you have sent me and have loved them even as you have loved me.

Jesus here addresses the Father concerning the disciples' testimony to the world. He prays that they would remain united to himself and the Father, that the disciples would be "in them," so that the world might know Jesus came from the Father. Here it would seem Jesus prays for the disciples to remain faithful, or loyal, as a way of avowing Jesus' claims about himself. Moreover, he remarks that the honor<sup>126</sup> given him by the Father he passes on to the disciples so that they might be "one" in the way he and the Father are "one" ("I in them and you in me" 17:23a). Again, it seems the disciples' unity may result in the world recognizing that Jesus was sent by God and that both the disciples and Jesus have the love of the Father. Apparently the honor Jesus gives to them, the honor of having God as their patron, will encourage loyalty among them, perhaps working as an incentive to adhere to the group. And the loyalty of the believers to one another and to Jesus will be a testimony to the world.

In these passages, the "being in" dynamic of the relationships between God, Jesus, and the disciples, which goes hand in hand with the "oneness" motif (17:22b-23a), bears a decidedly pragmatic connotation.<sup>127</sup> It has the nuance of "loyalty" and "unity" within relationships, which equips those relationships to withstand the destructive pressures of outside forces. It is not a "mystical" indwelling that is in mind, but faithful adherence to another person no matter what happens. The patronal

---

<sup>125</sup> Piper (1998: 17-18). See Piper for a much more nuanced treatment of Jesus' "farewell prayer" in John 17 and its patronal context.

<sup>126</sup> Piper (1998) demonstrates that in John 17, and elsewhere in John where "δόξα" is conferred to someone, it is best translated "honor." In John 17, the honor exchanged between the Father, Jesus, and the disciples should be understood as the sort of honor consequent from patron-client relations.

<sup>127</sup> On this Appold (1976: 285) writes: "The resulting oneness relation with the Revealer is not just a spiritual or an internal relation invisible to others around. It has instead concrete, perceivable manifestations, central among which is the corresponding oneness [ie unity] among the believers."

overtones in John 17 are heavy,<sup>128</sup> therefore the stress on “protection,” “loyalty,” and “love”<sup>129</sup> in Jesus’ prayer are most relevant. These are all distinctive of the patron-client relationship. Jesus’ concern in the prayer (or the Evangelist’s concern voiced by Jesus) centers on the maintenance of the group and of their patronal ties to Jesus and the Father in lieu of outside threats. Jesus’ (or the Evangelist’s) strategy is not to encourage an abstruse “mutual communion” of Father and Son and believers, but a practical adhering to one another in faithfulness, loyalty, and love.<sup>130</sup> And the benefits consequent upon such “being in” are not, according to the Evangelist’s focus, inward benefits, but outward practical benefits: Jesus does the works of God (10:38; 14:11), Jesus and the disciples “live/will live” (14:19-20), the disciples will bear fruit (15:4-10), the disciples will be a testimony to the world that Jesus came from God (17:21-23).

Family imagery is employed on occasion in the First Farewell Discourse, and it could be that the ideals of family relationships are behind the “being in” language of that discourse.<sup>131</sup> There are the parallel sayings that Jesus will take the disciples to the Father’s house or, more precisely, family (14:2-3),<sup>132</sup> and that Jesus and the Father will come and make their “home” or “dwelling” with them (14:23); and there is Jesus’ comment that he will not leave the disciples orphaned, but will come to them [through the Paraclete] (14:18). These all recall the family imagery of 1:12 (cf. 3:5-6), where it is said that Jesus gave believers power to become God’s children, a “spiritual” family. Arguably, the most dominant ideal associated with Mediterranean kinship, whether actual or “fictive,” is family loyalty, maintaining family honor and staying “connected.”<sup>133</sup> In light of this, it seems likely the emphasis in the Farewell Discourses on “being in” with respect to relationships between God, Jesus, the Paraclete, and the disciples addresses a concern for group cohesion. As with earthly families, it is crucial that the “spiritual family” of God stay connected to, or “abide in,” one another in order to stay healthy and fecund (15:1-11). Familial concerns and concerns for group maintenance and unity lie at the heart of the “indwelling”

---

<sup>128</sup> See Piper (1998).

<sup>129</sup> See Malina and Rohrbaugh (1998: 228) on the meaning of “love” in the first-century Mediterranean world. “Love” in that context carried the meaning of attachment to one’s group, or reliability in interpersonal relationships. Never in that context was love thought to be an inward emotional state without corresponding external actions. It was integrally related to loyalty within kinship and fictive kinship relationships.

<sup>130</sup> In his study of “εἶναι ἐν” and “μένειν ἐν” in 1 John, Malatesta (1978) comes to a very similar conclusion about the meaning of the Johannine “being in” language. Malatesta asserts that Johannine “being in” denotes a “reciprocal relationship in faith and love between believers and the Father” (p.289), as “a mutual reception and exchange of gifts” (p.304), as “mutual self-giving” (p.306), and as “loving attachment, faithful perseverance” (p.307). He uses the term “covenant” to sum up the kind of relationship envisaged in John’s “being in” language.

<sup>131</sup> See Segovia (1991: 102, n.79).

<sup>132</sup> Elsewhere in John, namely 4:53 and 8:35, the word “οἰκία” means “household” or “family,” not “house.” See Gundry (1967).

<sup>133</sup> On family in Mediterranean culture and in the New Testament, see Moxnes (1997), as well as Osiek and Balch (1997).



language of John 14-17, not concerns about an interior “communion” of a mystical variety.

Sayings to the effect that the disciples will “see” Jesus after his departure (14:19; 16:16) are interpreted by commentators Malina and Rohrbaugh as indications of altered state of consciousness (ASC) experiences,<sup>134</sup> in which the disciples will actually “see” Jesus.<sup>135</sup> They interpret Jesus’ appearance to the disciples in John 20 as an ASC experience. Furthermore, they conclude that Jesus’ promised “return” through the Spirit-Paraclete who “facilitates the continued presence of Jesus” refers to the disciples’ ASC experiences.<sup>136</sup> ASC experiences have been widely observed by anthropologists in most cultures and were very common in ancient Mediterranean culture. But though “seeing” the alternate reality is indeed a central element in the experience of ASC’s as observed by anthropologists,<sup>137</sup> a reference to “seeing” Jesus does not in itself warrant an interpretation of an experience as an ASC. The sayings predicting the disciples’ experience of Jesus after Jesus’ departure, and the account of Jesus’ appearance to the disciples after the resurrection do make reference to the disciples’ “seeing” Jesus, but there is little else in those passages to suggest ASC’s. And the sayings about the Paraclete, through whom Jesus returns to them “to abide,”<sup>138</sup> say nothing about the disciples “seeing” the Spirit-Paraclete.

ACS’s have been generally defined as:

conditions in which sensations, perceptions, cognition and emotions are altered. They are characterized by changes in sensing, perceiving, thinking, and feeling. They modify the relation of the individual to the self, body, sense of identity, and the environment of time, space and other people.<sup>139</sup>

More specifically, the following elements characterize ASC’s, or trances, as they are sometimes called:<sup>140</sup>

- The trance or ASC often follows upon focused concentration on something/things, or hypnosis. Pilch points out that “the key defining characteristic of a trance [or ASC] is its intensely focused attention which reduces awareness of the experience-context, namely, objects, stimuli or environment outside the specific focus.”<sup>141</sup>
- ASC’s are usually induced by some intense physical deprivation (ie sleep, food), fear or tension, dissociation, biochemical agents, or illness.<sup>142</sup>

<sup>134</sup> For more information on ASC’s, see Pilch (1993, 1995, and 1996).

<sup>135</sup> Malina and Rohrbaugh (1998: 231-232, 242, 282-285).

<sup>136</sup> Malina and Rohrbaugh (1998: 231-232).

<sup>137</sup> Goodman (1988: 44-46).

<sup>138</sup> Malina and Rohrbaugh (1998) seem to accept the interpretation that Jesus returns to the community through the Paraclete (see p. 231-232 and 241-242).

<sup>139</sup> Bourguignon, cited by Pilch (1993: 235).

<sup>140</sup> These elements of the ASC experience are gleaned from Lewis (1971), Goodman (1988: 37-47), and Pilch (1995). For accounts of many ASC experiences, see Lewis and Goodman.

<sup>141</sup> Pilch (1995: 53).

<sup>142</sup> Pilch (1995: 53).



- A person in trance or ASC usually experiences heightened arousal (ie intense emotional alterations).
- A person in ASC usually experiences physical manifestations such as perspiration, trembling, twitching, extremely rapid motion, or a catatonialike rigidity.<sup>143</sup>
- A person in trance may speak with a voice different from their own.
- In ASC, a person may see a vision. People in these visions may appear altered, most notably they may appear to be surrounded by bright light.
- A person in trance may become possessed by a spirit.
- The aftereffect of trance is usually intense euphoria.
- ASC's are occasional, transitory experiences.

The foregoing characteristics of ASC's are largely absent from the Farewell Discourse sayings about Jesus' return to the disciples after his death, as well as from the Paraclete passages. And neither do the accounts of Jesus' resurrection appearances seem to exhibit the above characteristics, with the exception of the account of Jesus' appearance to Mary Magdalene (20:11-18) which could exhibit some of the characteristics. It could be argued that her vision of Jesus comes on after her focused concentration on the tomb, and that it is induced by her fearful and weeping state. Furthermore, she does see angels clothed in white, which could indicate they were seen as "glowing," and the subject of her vision, Jesus, does seem to have an altered appearance. Therefore, it is possible that the Evangelist portrays Jesus' appearance to Mary as an ASC experience. However, when Jesus appears to the other disciples, they are in a state of fear, as would be expected under the circumstances, and they see a person who has been dead, but there are no ASC characteristics mentioned besides these. These two features do not constitute enough evidence to warrant an interpretation of these resurrection appearances as ASC experiences.

But because altered state of consciousness experiences were a commonplace in ancient Mediterranean culture, is it likely that some members of the Johannine community experienced them. Yet the Fourth Gospel betrays little interest in ecstatic manifestations or of ecstatic experiences of the spirit, in comparison with the other Gospels.<sup>144</sup> This could mean that spiritual ecstasy (including ASC's) was uncommon among Johannine Christians, for reasons we cannot know, or it could mean that ecstatic experiences occurred normally (according to the "norms" of their culture) among Johannine Christians, and

<sup>143</sup> Goodman (1988: 38).

<sup>144</sup> McPolin (1978b: 117) and Schnackenburg (1980/82, v.3: 149).

for some reason the Evangelist purposely avoids alluding to them. Could it be that the Evangelist is moving counter-culturally in his understanding of how human beings can experience the spirit realm? In other words, could he have envisaged another way than through trances and ASC's? Aspects of John's pneumatology compel us to answer affirmatively.

Most importantly, the Evangelist portrays the spirit as an "abiding" presence. People of ancient Mediterranean culture believed interaction with spirits happened via trances or ASC's through which people could experience spiritual "possession." Such trance or possession states are always occasional and temporary. Furthermore, they are usually marked by intense physical agitation and, in the case of possession, usually require the temporary "absence" of the person while the spirit takes control over them.<sup>145</sup> In contrast to this phenomenon, the Gospel of John portrays the spirit as "remaining" on Jesus, presumably throughout his ministry. The spirit does not temporarily possess Jesus, taking over his person, but *abides* on him. Similarly, it is promised that Jesus, through the Paraclete, will not come sporadically to the disciples, but will "make a home" with them. This indicates an abiding experience of Jesus through the spirit, not the fleeting trance or possession experience one would commonly confront in the Evangelist's culture.

The Evangelist likely envisages the disciples' experience of Jesus' presence through the Paraclete in terms familiar to him from his culture, in terms of possession. He does say the Paraclete will be "in" the disciples, instructing them and revealing to them what he hears from Jesus. But the Paraclete's "possession" of the disciples as delineated in the Johannine Farewell Discourses contrasts markedly with the possession experiences of his culture. This would indicate that the Evangelist moves counter-culturally in his pneumatology. In John, the disciples are promised a "new and better" experience of the spirit than the typical, transitory experiences of spirits by people in his culture. They are not promised a spirit which will possess them temporarily and violently, but one which will be in them "forever" (14:16). And through the Spirit-Paraclete, Jesus and the Father will  *dwell* with them. In conceptualizing the disciples' experience of the spirit in this way, the Evangelist may be subtly posing an alternative to other ways in which disciples of Jesus were claiming to experience his presence and that of the spirit.

John's first Farewell Discourse contains one other Paraclete saying, at 14:25-26:

I have said these things to you while I am still with you. But the Paraclete, the Holy

---

<sup>145</sup> See Lewis (1971).

Spirit, whom the Father will send in my name, will teach you everything, and remind you of all that I have said to you.

Again we read that the Paraclete will be sent to believers by the Father, but at the request of Jesus (14:16) and in his name (14:25). This language suggests Jesus brokers the Spirit-Paraclete to believers, though ultimately it constitutes a benefit from the Father. Therefore, the wording of 14:16 and 25 are not in contradiction to subsequent Paraclete passages which say that *Jesus* will send the Paraclete (15:26 and 16:7). In 15:26 Jesus says he will send the Paraclete “from the Father.” All of these verses can be interpreted as promises that the Paraclete will be given by the Father, *through the means of Jesus’* brokerage.

This second Paraclete saying also states that the Paraclete, the Holy Spirit, will perpetuate the teaching of Jesus after his departure. This is the only occurrence of the traditional term “Holy Spirit” in the Farewell Discourses. Why does the Evangelist substitute “Holy Spirit” for “Spirit of Truth” in this instance? Perhaps he is here attempting to draw a connection between the Paraclete whom Jesus promised would be sent upon his departure, and the “Holy Spirit” which Jesus conferred to the disciples upon his resurrection in 20:22. The use of the “peace” greeting in 20:19-21 provides another connection between the two scenes, since in 14:27 Jesus says, “My peace I leave with you; my peace I give to you.”

The context of the Paraclete saying at 14:26, especially the foregoing words, “I have said these things to you while I am still with you. *But...*,” reveals that the teaching which the Paraclete will bring continues Jesus’ teaching. The disciples need not fear that Jesus’ revelation from the Father will come to end after he is no longer with them. Moreover, Jesus promises that the Paraclete will remind the disciples of all he has already said to them; the Paraclete will keep active and alive the words of the earthly Jesus. These promises seem to address an underlying concern that Jesus’ words would become irretrievable remnants of a distant past, a concern most likely issuing from the Evangelist’s time and place rather than that of Jesus. Perhaps some among the Johannine Christians were tempted to seek God’s revelation through some other broker now that Jesus had been silenced. Perhaps they viewed Jesus brokerage as time-limited. 14:25-26 provide reassurance that Jesus’ brokerage is not limited by time and space. Jesus, though departed, will remain active as broker among believers through the teaching of the Paraclete who continues Jesus’ proclamation by brokering access to his continuing revelation, and by recalling his words which were spoken to them while he was physically present. The intrinsic fear,

that we noted earlier, behind this first Farewell Discourse, the fear that Jesus could no longer fill the role of broker for believers because of his absence, likely constitutes the key issue addressed by the Paraclete promises within it. In the discourse, Jesus promises the disciples that his presence among them will be perpetuated by the presence of the Paraclete, whom the Father will send to them at Jesus' request. Through the Paraclete, Jesus will "come again" to them. And most importantly, he will continue to provide them with a "way" to the Father.<sup>146</sup>

According to 14:25-26, the Paraclete will not only perpetuate Jesus' presence among believers, but he will also teach them "all things," recall the words of Jesus to them, and declare to them the things that are to come. The larger context of the promise suggests the Paraclete does not teach the disciples "all things" independently of Jesus, but rather *continues* "these things" which Jesus has said in their presence (v.25). This does not mean, however, that the Paraclete does not teach the disciples anything new, supplementing the teachings of the earthly Jesus,<sup>147</sup> only that the new things the Paraclete will illumine to them will be what he hears from the glorified Jesus. The fact the Paraclete teaches the disciples "new" things does not contradict Jesus' statement in 16:13 that the Spirit of Truth "will not speak on his own, but will speak whatever he hears." The Paraclete will proclaim to the disciples the words he hears from the glorified Jesus (16:12-14). Clearly the Evangelist believes the Paraclete will further the insights of the disciples beyond the level that Jesus was able prior to his glorification. Throughout the Gospel the Evangelist alludes to the partial understanding of the disciples before Jesus' glorification, and how they would one day remember and comprehend Jesus' words fully (2:17, 22; 8:28; 12:16; 14:26; 15:20; 16:4; cf. 16:20-21; 20:8-9). Their greater comprehension is to be facilitated by the Paraclete,<sup>148</sup> who will bring about the fundamental change which will enable them to do so. But the Paraclete will not merely explicate to them what Jesus had already said. 14:25-26, as well as 16:12, imply Jesus is *unable* to say everything to the disciples while on Earth. *There is more to be revealed*, and when the Paraclete comes he will provide them with access to Jesus' continuing revelation.<sup>149</sup> The

---

<sup>146</sup> Against Howard-Brook (1994: 347-348) who asserts that the Paraclete "replaces" Jesus as the way to the Father.

<sup>147</sup> Contra Brown (1966/70, v.2: 707-708, 714-715), Lindars (1972: 505), Kremer (1977: 256-257), Porsch (1974: 258), and Schulz (1983: 205).

<sup>148</sup> Kremer (1977: 253-254). See Rohls-Hoegen's (1996) monograph on the theme of the new understanding of believers through the Spirit-Paraclete after Jesus' glorification.

<sup>149</sup> Scholars who believe the Paraclete is to disclose information that Jesus left unrevealed include: Bammel (1973), Boring (1978: 118, n.1), Painter (1981: 540), Haenchen (1984, v.2: 144), Dietzfelbinger (1985: 403-405), Beare (1987: 116-118), Slater (1991: 105-106), and Segovia (1991: 238-239, n.29, 243).

Evangelist does not allow one to limit the Paraclete's revelation to what Jesus had already revealed.<sup>150</sup> He does, however, insist that the Paraclete's revelation ultimately emanates from Jesus and will not belie his teaching.<sup>151</sup> Significantly, the verbs in 16:13 are future tense. The Paraclete/Spirit *will* speak to the disciples what he *will* hear from Jesus. The words of the Paraclete are therefore not limited to what Jesus said in the past, but include what the Paraclete will hear from Jesus in the future.

Essentially, the Paraclete's teaching is claimed to be the teaching of Jesus, just as it is said in John that Jesus' words are in actuality the words of the Father, since Jesus says only what the Father has given him to say. To take this construct further then, ultimately the Paraclete's words are those of the Father as well.<sup>152</sup> If this is not made explicit in the text, it is because the Evangelist's focus is primarily on Jesus in the Farewell Discourses, and on addressing the problems of his departure. The thrust of the promise that the Paraclete will teach all things and recall Jesus' words is not *primarily* that the Paraclete perpetuates Jesus' revelation, but that the Paraclete makes Jesus continually present to the disciples. The Paraclete/Spirit of Truth continues Jesus' presence and function by brokering access to Jesus. Therefore, Jesus can continue to be "available" as broker for the disciples and his brokering of instruction from the Father can continue. It is actualized through the Paraclete's work of teaching all things (by speaking the words of Jesus which emanate from the Father) and recalling all that Jesus had already taught them (in his speaking the words of the Father).<sup>153</sup>

The Paraclete also declares the things that are to come. Here the Paraclete fulfills one of the key roles of a prophet.<sup>154</sup> Interestingly, it is not said that the Johannine Christians will in turn declare to the world "the things that are to come." In fact, nowhere in John does the Evangelist say the believers will be prophets. Could it be that the Evangelist is limiting the role of prophet to the spirit? Could it be the Evangelist does not envisage a human being as a prophet since in Israelite tradition a prophet is essentially a direct broker between God and God's clients? When Jesus has returned to the heavenly realm, only another figure which can move between the heavenly and earthly realms (ie the Spirit-Paraclete) can provide human beings with access to the heavenly realm. No human being fits that

---

<sup>150</sup> Against Brown (1966/70, v.2: 650) and Schnackenburg (1980/82, v.3: 83), as well as Bultmann (1971: 626-627), who basically limits the Paraclete's teaching to the renewal of Jesus' earthly witness in the proclamation of the church.

<sup>151</sup> Burge (1987: 213).

<sup>152</sup> Becker (1971: 499), Barrett (1978: 489-490), and Franck (1985: 42).

<sup>153</sup> Franck rightly notes that the Paraclete's teaching and reminding functions are *intermediary* functions.

<sup>154</sup> Lindars (1972: 505). Also, note the parallelism between John 16:13c and Isa 44:7, in which God challenges false gods by claiming supreme control over the prophetic word, saying "Who is like me?...Who has announced from of old the things to come?"

description, therefore, no human being can be a prophet in the sense of providing direct access to God. Nonetheless, Jesus does allow the disciples to function as witnesses and as subordinate brokers in providing access to Jesus. In this limited sense, they may appear to have prophetic functions, though the disciples access to Jesus is also mediated, by the Paraclete.

Since in John's first Farewell Discourse the Paraclete/Spirit of Truth/Holy Spirit brokers access to Jesus for believers, so that Jesus can continue to broker access to the Father, can continue to be the "way" to the Father (14:6), then "broker" would indeed be warranted as a translation for παράκλητος here, as in several of the Greek examples we studied. In our examination of the Greek usage of παράκλητος we found that the word usually denotes someone (or something) who mediates access to certain benefits from a patron who possesses those benefits. In chapter 14 of John, we find that the Paraclete does just this. He provides believers with access to Jesus, to Jesus' presence, to his past instruction, and to his continuing revelation. But we have also apprehended that since the words Jesus speaks are not ultimately his own, but come from the Father, the Paraclete brokers access to another broker. Jesus is the broker who ultimately brokers the benefits of the Father's patronage. This sort of network of brokers occurs regularly in patronal relationships. Most brokers provide their clients with connections only to another broker, who is able to provide them with access to the patron who possesses the benefits they seek. There can be many rungs on such brokerage "ladders." An important conclusion of our analysis of the Paraclete passages in the First Farewell Discourse is, then, that Jesus' brokerage *continues*. This seems to be the issue for the Evangelist. Jesus continues to be the way to the Father. Consequently, Jesus continues to be a παράκλητος. He does not cease to be a broker when he returns to the Father, but continues to be the only one able to provide believers with access to God. Therefore, the Paraclete is described as "another" παράκλητος, not only because Jesus was a παράκλητος, *but because he still is*.

## 2.2. *The Remaining Paraclete Sayings (15:26 - 16:15).*

We have chosen to exegete the Paraclete sayings at 15:26 and 16:7-15 in one section. We acknowledge that, structurally speaking, there are divisions within 15:26-16:15. Still the themes dealt with in this unit form a contiguous progression, moving from the theme of the Paraclete's/disciples' witness to the world and resulting persecutions (15:26-16:4a), to that of the Paraclete's ἐλέγχειν of the world (16:4b11), to that of the Paraclete's relationship to the disciples (16:12-15), and therefore presents



us with enough continuity to deal with the entire unit together.

It should be noted at the outset that striking similarities exist between John 14 and 16. Like chapter 14, chapter 16 centers on the theme of Jesus' departure and the disciples' despair. The two chapters share several parallel verses,<sup>155</sup> and 16:16-24 mirrors the technique of statement-misunderstanding-clarification which we noted in the first Farewell Discourse. Moreover, both units contain two Paraclete passages. Why the similarities between chapters 14 and 16? The compositional history of the Farewell Discourses occasions much debate, and here we are unable to present the breadth of issues involved.<sup>156</sup> Yet the issue of the authorship of chapters 14 and 16 proves significant for our study and cannot be bypassed. More pointedly, we are concerned to know whether the pneumatology of chapter 16 is that of the Evangelist.

We wish to discuss two of the possibilities which confront us with regard to the authorship of chapters 14 and 16. It is possible that chapter 14 and 16 represent different "drafts" of a discourse, both composed by the Evangelist, which both came to be incorporated into the Farewell Discourses, either by himself or by an editor. Or it is possible, as Schnackenburg contends, that the discourses have different authors, with the later author imitating the style of the earlier author in his "new" discourse. Schnackenburg's reasons behind this contention are, however, unconvincing as evidence for different authorship.<sup>157</sup> Some of Schnackenburg's evidence cited in support of his theory could be explained if the Evangelist was facing/addressing different concerns when he composed the later "draft."<sup>158</sup> In other words, the Evangelist may have been emphasizing different issues at different stages in his community's experience. For instance, in response to one of Schnackenburg's arguments, in the chapter 16 "draft" he could be more concerned to emphasize the activity of the Paraclete with regard to the world because at that time his community was experiencing a more acute degree of conflict with the "world." Schnackenburg's other arguments include: 1) chapter 14 mentions one "little while" until Jesus withdraws from the disciples and then is present with them again, but chapter 16 mentions "a little while" until he

---

<sup>155</sup> See Brown's chart of those similarities in 1966/70, v.2: 589-591.

<sup>156</sup> Brown's extensive remarks (1966/70, v.2: 581-597) prove helpful by presenting the various issues involved.

<sup>157</sup> See Schnackenburg (1980/82, v.3: 123-124).

<sup>158</sup> An exception would be the point that Jesus' comment in 16:5 belies Peter's question in 13:36. But Morris (1972: 695-696) and Haenchen (1984: 143) assert there is no real contradiction, since the question Peter really poses is not "where are you going?" but "how can we follow you where you are going?". Neither do Dodd (1960: 412-413), Barrett (1978: 485), or Malina and Rohrbaugh (1998: 241) see a contradiction here. But even if there is a contradiction between 13:36 and 16:5, we fail to see how it is better explained by Schnackenburg's thesis that the later discourse was written by a different author who "to some extent modeled" it after chapter 14 than by the thesis that chapters 14 and 16 are different drafts of the same discourse by the same author.

leaves and then “again a little while” until they see each other again (16:16), 2) in chapter 16 the disciples’ relationship to the Father is more direct (16:26) than in chapter 14, and 3) chapter 14 is concerned with strengthening the disciples’ vulnerable faith, while in 16:30 they declare their faith openly. In response to Schnackenburg we note, regarding 1), it could be asserted that the second “little while” between Jesus’ departure and return [through the Paraclete] is implied and taken for granted in chapter 14 though it is not stated. Certainly in the passion narrative of John a lapse occurs between Jesus’ departure [ie death] and his conferral of the Spirit [ie Paraclete] after his resurrection. Regarding 2), the disciples’ relationship to God is *still* brokered through Jesus in chapter 16. They must make requests to the Father “in Jesus’ name” (16:26a) just as in chapter 14 (14:13-14). Finally, regarding 3), even without chapter 16 the Farewell Discourses would display a deepening of the disciples’ loyalty for Jesus, the culmination of which is expressed in the strongly affective language of Jesus’ prayer in chapter 17, where the disciples are starkly contrasted with the perfidious world. This progression in faith might account for the disciples’ declaration at 16:30, which, even then, is shown to be inadequate (16:31-32). All in all, Schnackenburg’s evidence fails to sustain a strong enough case for different authorship.

Chapters 14 and 16 of John appear to be separate drafts of the same discourse,<sup>159</sup> while chapter 15 is linked to 16 by similar themes, as will be seen below.<sup>160</sup> In the following it will be assumed the three discourses share the same author. John 15:18-16:11 provides the counterpart of its preceding section. 15:1-17 spotlights the disciples’ relationship vis-à-vis Jesus and one another. These relationships are marked by love, and “abiding,” or loyalty. In sharp contrast to this complex of relationships stands the relationship between the disciples and the world, the theme taken up at 15:18. However, this theme is foreshadowed in 15:6 with the reference to the pruning and burning of “disloyal” branches. The shift from the theme of love between Jesus and his disciples to that of the hatred of the world for both is abrupt, yet the two sections are flip-sides of a broader theme. Both units express the integral unity between Jesus and believers. This unity constitutes the foundation on which the disciples’ love for one another rests: the disciples are to love one another because Jesus has loved them, and by loving one another they remain faithful to Jesus (ie “keep his commands” 15:12, 14, 17). Likewise, the unity between

<sup>159</sup> A view supported by Barrett (1978: 455) and Painter (1981). See Dettwiler (1995) on the use of “relecture” in John. Dettwiler contends that 16:4b-33 are a relecture of 13:31-14:31, in that the latter restates, elaborates, and explicates the former.

<sup>160</sup> Painter (1981) views 15:1-16:4a and 16:4b-33 as two separate versions of the farewell discourse, in other words as second and third versions. However, the themes in 15:1-16:33 form a logical progression and we do not find compelling reason for seeing two separate versions of a farewell discourse within that material.

Jesus and the disciples constitutes the cause of the world's hatred of the disciples: the world will hate them and persecute them because the world did the same to Jesus. Within the Mediterranean cultural context, "love" signifies loyalty to a person or group, while "hate" denotes disloyalty or "indifference" to a person or group. "Love" and "hate" are primarily associated with external actions rather than inward emotional states.<sup>161</sup> The world hates the disciples because they belong to Jesus and the world does not believe in him, they do not love or show loyalty to him, and will therefore not do so to his followers. Disloyalty to Jesus, or failure to accept him epitomizes the world's sin (15:22-24).

Against this backdrop the Paraclete enters into the discourse, and it is revealed that the Paraclete, whom Jesus will send from the Father,<sup>162</sup> will testify to the world on Jesus' behalf. Though the word "world" does not appear in 15:26-16:4a, the context of the unit makes it apparent that the world is being discussed here (cf. 15:18-19, 25, and 16:2). The continuity between those identified as the "world" in 15:18-25 and those opposed to the disciples' in 15:26-16:4a stands out: 15:18-25 begins with direct references to the world, which remains the primary focus of the subunit though the designation "world" drops out, and by the end of the subunit, in v.25, the world comes to be identified as those whose hatred of Jesus and the Father fulfills "the word that is written in their law." Apparently then, the "world" denotes "religious" Israelites. Moreover, the references to expulsion from the synagogues in 16:2 indicates they are also in view in the subunit of 15:26-16:4a. Those characterized as Jesus' and the disciples' opposition in this part of the Farewell Discourses are the same group who bore that characterization throughout the Gospel.<sup>163</sup> It is interesting, however, that the opponents of Jesus are generally called "Ἰουδαῖοι" outside of John 14-17, whereas the term "Ἰουδαῖοι" is used rarely in the Farewell Discourses (it appears in 13:33). Ashton makes the cogent suggestion that this variation in the author's terminology merely reflects his desire to maintain a distinction between those who opposed Jesus during his ministry and those who would be in conflict with the Johannine community. Ashton sees "no rigid distinction"

<sup>161</sup> Malina and Rohrbaugh (1998: 86-88).

<sup>162</sup> This "sending" formula does not contradict that in chapter 14 (Bultmann [1971: 553], Kremer [1977: 254], Barrett [1978: 482], and Segovia [1991: 199]). As we have said, the Paraclete issues from the Father, but is sent to the disciples through the brokerage of Jesus. So although the Father ultimately sends the Paraclete, it is also legitimate to say that, from the recipients' perspective, Jesus sends the Paraclete as well. Mathews (1992: 223-224) believes that the progression from the Father sending the Paraclete in 14:16 to Jesus sending the Paraclete in 16:7 aims to reiterate the unity of the Father and the Son. The Father is the source of the gift, but the Son participates in the giving.

<sup>163</sup> The implicit identification of the "opponents" in the Farewell Discourses as Ἰουδαῖοι presents, we believe, irresolvable problems for the theory of D. Bruce Woll (1981) that, at least in the first Farewell Discourse, the Evangelist seeks to counter a "charismatic" threat. Woll argues that there were among the Johannine Christians people claiming charismatic authority resulting from direct access to the spirit, and presenting a threat to Jesus' authority. We do not find evidence of this in the Discourses.

between the terms "world" and "Ἰουδαῖοι".<sup>164</sup>

Jesus says the Paraclete will testify to the world "περὶ ἐμοῦ" (15:26), presumably because Jesus will no longer be physically present in the world and thus no longer able to testify for himself. The NRSV translation of "περὶ ἐμοῦ" as "on my behalf" conveys well the meaning of the verse. The Paraclete does not witness "about" Jesus, ie by providing his own information *about* Jesus, rather he provides a way for Jesus to continue his own witness. This interpretation comports with the picture of the Paraclete as the means through which Jesus is made available, or "present," after his return to the Father. The Paraclete's witness does not simply recapitulate Jesus' earthly witness, rather the Paraclete makes available the continued witness of the glorified Jesus. The theme of witness to the world follows naturally upon the theme of the world's sin and hatred in 15:18-25.<sup>165</sup> During his ministry, Jesus bore witness to the world, and its rejection of Jesus' witness epitomizes sin.<sup>166</sup> After Jesus' departure, his witness continues through the Paraclete. The Paraclete perpetuates Jesus' witness because he provides a "connection" to Jesus after his departure.<sup>167</sup> And in as far as the world continues to jettison Jesus' testimony through the Paraclete, they linger in sin, manifesting their ignorance of and disloyalty toward God. Witness to the world and "sin" are interrelated concepts in John.

It is also said the disciples will witness. Their witness relies on their having been with Jesus "from the beginning" (v.27). The distinction between the Paraclete's witness and that of the disciples is significant. The Paraclete testifies on behalf of Jesus because Jesus will be departing from earth. The disciples' witness pertains specifically to what they saw of Jesus "from the beginning," in other words, what they experienced of Jesus' earthly ministry (see 1 Jn 1:1). This description functions to set the Paraclete's witness apart as something other than this. The disciples witness to their experience of Jesus. The Paraclete witnesses *for* Jesus. This becomes more apparent in 16:12-13, which states that the Paraclete will not speak on his own, but will speak only what he hears from Jesus.

Yet how does the Paraclete go about witnessing to the world for Jesus? The Paraclete is not sent to the world, but to the disciples. In fact, in 14:17 it was stated that the world could not even receive, see, or know him, which seems appropriate since the Paraclete functions as a broker to Jesus and the world does

<sup>164</sup> Ashton (1991: 136-137).

<sup>165</sup> Brown (1966/70, v2: 698), Bultmann (1971: 547), Barrett (1978: 482), and Schnackenburg (1980/82, v.3: 117, 119). Contra Haenchen (1984, v.2: 138), who remarks that 15:26 has no connection to what precedes.

<sup>166</sup> Segovia (1991: 200, n.49) points out that Jesus' "witness" mainly refers to his entire mission and ministry (3:11, 32-33; 5:31; 7:7; 8:13-14, 17-18; 18:37; cf. 18:23). But Jesus' witness does occasionally refer to specific events or information as well (4:44; 13:21).

<sup>167</sup> Beare (1987: 117).

not accept or receive Jesus. But then how can the world apprehend the Paraclete's (and thus Jesus') witness at all? The Paraclete is not sent to the world and cannot guide the world into the truth, the way he does the disciples. It would seem then that the only way the Paraclete's witness could reach the world is through the disciples. This is why many interpreters conclude the Paraclete witnesses to the world through the proclamation of believers.<sup>168</sup> The Paraclete's witness to the world on Jesus' behalf is apprehended by the disciples, who in turn proclaim Jesus' testimony to the world.<sup>169</sup> But the content of the disciples' *own* witness (v.27) is what they experienced of the earthly Jesus. In other words, the witnessing ascribed to the disciples in v.27 pertains only to the disciples who were eyewitnesses of Jesus' life and ministry.

Many scholars have noted a parallelism between the conception of the Paraclete as witness in our passage and the portrayal of the spirit's work, namely to witness for the disciples before the courts, in the synoptic "Eschatological Discourse" (Mt 10:17-25, 24:9-10; Mk 13:9-13; Lk 21:12-17).<sup>170</sup> The affinities between the two could suggest that the Evangelist knew the synoptic tradition and freely reformulated it to suit his unique purposes, rather than suggesting a genuine similarity of thought. Indeed, the only substantial difference between the synoptic formula and the Johannine is that in the Synoptics the spirit witnesses on behalf of the disciples, not on behalf of Jesus, as in John. Mk 13:11 states, "When they bring you to trial and hand you over, do not worry beforehand about what you are to say; but say whatever is given you at the time, for it is not you who speak, but the Holy Spirit" (cf. Mt 10:19-20; In Lk 12:11-12, the Holy Spirit teaches the disciples what to say.). This could indicate the Evangelist's reworking of the tradition.

Some scholars reckon that the Evangelist's incorporation into the Farewell Discourses of the "Eschatological Discourse" tradition, which attributes a forensic role to the spirit, was the impetus for the Evangelist's introduction of the title "παράκλητος."<sup>171</sup> This theory rests on the assumption that the title has primarily a forensic meaning, an assumption we have countered. Those who view the Paraclete

---

<sup>168</sup> Brown (1966/70, v.2: 698f.), Bultmann (1971: 554), Schnackenburg (1980/82, v.3: 118), Burge (1987: 208), Segovia (1991: 201), and Mathews (1992: 228, 231).

<sup>169</sup> According to this construction, it would appear the disciples act as prophets, proclaiming Jesus' witness to the world through the "inspiration" of the Paraclete. But though in 15:26 it might seem the disciples are "prophets" in voicing the Paraclete's (thus Jesus' and, ultimately, the Father's) testimony to the world, they do so only through the brokerage of the Paraclete to Jesus and Jesus to the Father. They do not provide direct access to God, but are subordinate brokers to Jesus.

<sup>170</sup> Brown (1966/70, v.2: 699f.), Barrett (1978: 479), Becker (1979/1981, v.2: 492-493), and Dietzfelbinger (1997: 209). See Burge's chart of the parallels between John 15:18-16:4a and the synoptic "eschatological discourse" (1987: 207).

<sup>171</sup> Especially Brown (1966/70, v.2: 699f.) and Burge (1987: 206-208).



primarily as a forensic figure adduce as key evidence the Paraclete sayings at 15:26 and 16:7-11.<sup>172</sup> We wish to argue, however, that though the spirit sometimes bore a forensic role in Christian tradition (Mt 10:20; Mk 13:11; Lk 12:12), in John's Farewell Discourses the forensic "task" of the Spirit-Paraclete falls within his patronal function. The only Paraclete saying which attributes a forensic task to the Paraclete appears at 15:26, and we will argue that even here the "witnessing" work of the Spirit-Paraclete is concomitant to his role as Jesus' loyal broker/client and as a support to the disciples in their work of witnessing. Furthermore, we will argue below that John 16:7-11, which is usually taken as definitive proof of the Paraclete's forensic function in the Fourth Gospel, does not in fact evidence a forensic function for the Paraclete and does not fit into the "trial story" fashioned by the Evangelist.

In 15:26 we read that the Paraclete will "witness" on behalf of Jesus. "Witnessing" does seem to be conceptualized as a forensic task in John. The metaphor of a trial pervades the Fourth Gospel,<sup>173</sup> and Jesus is there depicted as a defendant on trial before the world. Jesus, along with several other witnesses, testifies throughout the Gospel. Furthermore, as both Harvey,<sup>174</sup> Trites,<sup>175</sup> and, more recently, Lincoln<sup>176</sup> have asserted, this trial of Jesus does not end with his departure from earth, but continues in the trial of both Jesus and his disciples in his absence.<sup>177</sup> Consequently, the disciples are commissioned to bear witness of their experiences with Jesus (15:27) after he has returned to the Father. Within this context, the Paraclete/Spirit of Truth too will witness (15:26), on behalf of Jesus. Yet we submit that the Paraclete is not defined by this "forensic" task of witnessing. Even Harvey and Lincoln, who uphold the view of the Paraclete as a primarily forensic figure, note that the point of 15:26 is that the Paraclete *will act as a support to the disciples* when they witness before the world.<sup>178</sup> Lincoln writes, "By being present with the disciples in their trial..., [the Paraclete] will aid them in their witness to the truth, because, as the Spirit of truth, he will guide them into all truth...".<sup>179</sup> By witnessing on behalf of Jesus the Paraclete stands alongside the disciples, undergirding their testimony with the more powerful testimony of Jesus himself. This activity of the Paraclete falls within his work as a broker. Patrons frequently provide their clients with support during times of need, as clients do for their patrons; support

<sup>172</sup> For example, Brown (1966/70, v.2: 698-701), Harvey (1976: 107f.), Burge (1987: 206-208), and Lincoln (1994: 10-11).

<sup>173</sup> Lincoln (1994: 29).

<sup>174</sup> Harvey (1976: 103-122).

<sup>175</sup> Trites (1977: 78-127).

<sup>176</sup> Lincoln (1994).

<sup>177</sup> Harvey (1976: 112) and Lincoln (1994: 10-12).

<sup>178</sup> Harvey (1976: 107) and Lincoln (1994: 10).

<sup>179</sup> Lincoln (1994: 10).



in times of need constitutes a key “benefit” of the patronal relationship.<sup>180</sup> A patron or client will often lend his support when one of the parties finds himself in court.<sup>181</sup> In our passage the Paraclete fills the role of a broker for the disciples in brokering to them the support of Jesus’ corroborating witness alongside their own witness. Trites elucidates the “supportive” function of the Paraclete in the post-resurrection trial context, though she misses the patronal meaning:

When the apostles are witnessing for Christ in the face of antagonism and hostility, they do not witness in their own strength but rather in the convincing power of the Holy Spirit (Jn 15:26f.).<sup>182</sup>

Yet the Paraclete also fills the role of a loyal broker/client of Jesus who witnesses on his behalf as part of the ongoing trial of Jesus. Interestingly, Harvey draws parallels between this trial and the Israelite legal background,<sup>183</sup> noting that in Israel the only courtroom players were the judge and the witnesses. There were no “lawyers.” Apparently without being cognizant of the fact, Harvey describes the witnesses in patronal terms: “The greater number of reputable persons a man could gather on his side to corroborate his own testimony the better... .”<sup>184</sup> Furthermore, he notes that in rabbinic literature, the loanword “paraclete”...

... did not mean an advocate in the sense of a lawyer. [It] meant rather a man who would appear in court to lend the weight of his influence and prestige to the case of his friend, to convince the judges of his probity, and to seek a favourable verdict.<sup>185</sup>

This practice aroused concern among those who wanted strict impartiality in the courts.<sup>186</sup> In patronage societies, such as the societies of the ancient Mediterranean, the “reputable persons” and “influential friends” a person would hope to rely upon for support in the courtroom would likely be patrons and/or clients. Such persons would not primarily function as legal or forensic figures, but they would first and foremost be linked to the defendant by the reciprocal ties of patronage and/or kinship and would function as reliable “friends” of the defendant. As such they would take on a forensic task, but only for a time, and only because of the patronal and/or kinship relationship they shared with the defendant, a relationship which would continue long after the trial had ceased.<sup>187</sup> John 15:26 does not provide

---

<sup>180</sup> Eisenstadt and Roniger (1984: 57).

<sup>181</sup> Eisenstadt and Roniger (1984: 62).

<sup>182</sup> Trites (1977: 121).

<sup>183</sup> For more information on the Israelite forensic process, see Derrett (1971) and Falk (1972).

<sup>184</sup> Harvey (1976:108).

<sup>185</sup> Harvey (1976: 108-109). Harvey cites S. Krauss, *Gr. Lohnwörter* (1898) I, 210; II, 496, as listing examples of this practice.

<sup>186</sup> *BSheb.* 31a, *GenR* 18.33.

<sup>187</sup> See our section on patronage in the courtroom in the Early Roman Empire, Chapter One, §2.1.1..

evidence of a “forensic” spirit, but provides further evidence of a supportive, patronal spirit. As Franck writes, “The [Paraclete] will respond to all the needs of the disciples, giving assistance where the disciples have shown their own insufficiency.”<sup>188</sup> Consonant with the responsibilities of patrons/brokers in patronage societies, the Paraclete is portrayed as rallying to his clients’ defense when they find themselves before a judge. The Paraclete stands alongside the disciples as they bear witness to their experiences of Jesus before the world. Ironically, the analyses of Harvey, Trites, and Lincoln which illustrate that the spirit functions to provide support for the disciples during the crisis of their trial before the world can just as well support our interpretation of the spirit as broker as they can support their forensic interpretations. Nonetheless, we will argue below that their interpretations prove unhelpful with respect to 16:8-11, the only other Paraclete passage which they can adduce as possible evidence of a “forensic-spirit.”

Just as Jesus’ witness during his ministry had resulted in his persecution and death, so will the continued witness of the Paraclete and the disciples result in persecution and death for the disciples. The specific contours of these events make up the theme of 16:1-4a. At 16:7 attention turns to the sorrow the disciples are experiencing as a result of Jesus’ disclosure about his departure and their impending persecutions. In response to this, Jesus tells them “it is to your advantage that I go away, for if I do not go away, the [Paraclete] will not come to you; but if I go, I will send him to you” (16:7). This passage raises two questions: 1) why is it only possible for the Paraclete to come after Jesus had departed?, and 2) why is it more advantageous to the disciples for Jesus to leave and the Paraclete to come than for Jesus to remain with them? We believe the answer to the first question to be found in the characterization of the Paraclete. In other words, to answer that question, it is necessary that we first discern what is the Paraclete’s purpose, according to his characterization in the Farewell Discourses. If the *purpose* of the Paraclete can only be fulfilled after Jesus has gone away, that would explain why it was necessary that Jesus must depart before the Paraclete could come *to fulfill its purpose*. We have argued that the Paraclete’s purpose is one of brokerage. The Paraclete functions to provide believers with access to Jesus after he was no longer immediately available to them (14:16-18, 25-26; 16:7, 12-14), in order that Jesus could continue to provide believers with access to God. The goal for believers is God’s patronage. And if that is the goal, and they have access to it through Jesus, they do not need the Paraclete while Jesus is with them.

---

<sup>188</sup> Frank (1985: 66).

The second question proves a bit more complex. If the Paraclete's purpose is to provide access to Jesus, would not it be just as well for the disciples if Jesus did not leave and they continued to have unmediated access to him? Why was it more advantageous to have the Paraclete come and provide them with *mediated* access to Jesus? Could not Jesus have functioned as the broker between God and humanity whilst remaining on earth, or by going back and forth between the realms? The problem with these questions is that the Evangelist probably would not have asked them. The historical fact of Jesus' return to the Father constrained him to account for Jesus' departure and physical absence. He does so by focusing on the continuing *presence* of Jesus with the believers through the Paraclete. What was important from the Evangelist's perspective was that Jesus revealed himself to be the true broker to God, and his brokerage would continue to be available to believers through the Paraclete's brokerage to Jesus.

Returning to the discourse, we find that at 16:8-11 Jesus says, "And when [the Paraclete] comes, he will prove the world wrong about sin and righteousness and judgment..." (v.8). The verb translated "will prove wrong" in this passage, ἐλέγξει, has received prodigious attention from biblical scholars. "ἐλέγω" can mean: to disgrace or put to shame, to cross-examine, to prove guilty or wrong, to convince, or to condemn. Scholarly interpretations of 16:8 have utilized several of these meanings.<sup>189</sup> A consensus as to the Evangelist's meaning clearly eludes us. Nevertheless, scholars' views can largely be summarized as dividing into two main groups, those supporting the translation "to prove the world wrong" (or variants of this) on one side, and those supporting the translation "to convince the world of its guilt" (or variants of this) on the other.<sup>190</sup> Still, *interpretations* of the passage vary even among those who translate "ἐλέγξει" similarly. For example, among those who choose the first translation mentioned, some believe the "proving wrong" of the world is directed at the disciples: the Paraclete proves to them

<sup>189</sup> Brown (1966/70, v.2: 705) believes the best meaning is: to expose the guilt of the world to the disciples. Sanders/Mastin (1968: 350-351), Morris (1972: 697), and Howard-Brook (1994: 346) conclude the best translation is: to convict the world, meaning both to prove it guilty and convince it of its guilt. Bultmann (1971: 561) translates the phrase in 16:8: to uncover the world's guilt. Lindars (1972: 501) renders it: to expose the world concerning... , a translation very similar to that adopted by Moloney (1998: 84). Barrett (1978: 487) concludes the best translation to be: works upon the conscience of the world. Carson (1979: 558) believes the meaning is: to bring the world to recognition of its guilt. Stenger (1979: 3-6) chooses the meaning: to convict of. Schnackenburg (1980/82, v.3: 128) renders ἐλέγξει: will prove wrong. Haenchen (1984, v.2: 144) translates the verb: to convince. Burge (1987: 210) contends the meaning is: to persuade the world. Segovia (1991:232f.) concludes the best translation is: to convict the world, meaning to prove it guilty.

<sup>190</sup> Of the interpreters cited in n.189 above, six (Brown, Bultmann, Lindars, Schnackenburg, Segovia, and Moloney) opt for variants of the first translation, six for the second (Sanders/Mastin, Barrett, Carson, Haenchen, Burge, and Howard-Brook). Franck (1985: 58-65) chooses not to translate ἐλέγξει but his interpretation clearly favors the second option in that he perceives the action as directed toward the world with the intent of effecting a reconsideration on behalf of the world. One scholar, Stenger, chooses the meaning, "to convict," which bears the connotation of a "verdict" against the world, and though it is close to the "to prove wrong" translation, it is not identical.

that the world is wrong.<sup>191</sup> Others of them believe the “proving wrong” is directed at the world by way of the disciples’ proclamation:<sup>192</sup> the Paraclete, via the disciples, proves to the world that it is guilty. This meaning closely approximates that of the second translation mentioned, “to convince the world of its guilt.” But Brown, who opts for the translation “to prove the world wrong” argues that this activity *must* be directed at the disciples. For to say the Paraclete proves to the world that it is guilty, or to say that he “convinces” the world of their guilt, would contradict the Evangelist’s view of the world and the Paraclete’s relationship to the world.<sup>193</sup>

We concur with Brown’s view. The Paraclete’s mission is not directed to the world; he is not sent to the world in order to “persuade” them of their guilt. Rather he comes to the disciples in order to continue Jesus’ work and to make Jesus’ presence perpetually available to them. Although, just as in Jesus’ ministry, a “remnant” from the world will accept Jesus’ witness through the proclamation of the disciples, and be “chosen out of the world” as were the disciples (15:19; 17:6, 20), the world as a whole will be as hostile to the disciples as they were to Jesus (15:18-16:4a). The broader context of 16:8-11 cautions one against the interpretation that the Paraclete will “convince the world of their guilt.” 15:18-16:4a vividly describes the world’s hatred of God and Jesus; the world does not know God and because of their rejection of Jesus’ witness from God they have sin (15:21-24). The Paraclete continues Jesus’ witness (15:26). Predictably, Jesus does not say the world will respond to the Paraclete’s witness by being convinced of its guilt, rather he goes on to say that as a result of the Paraclete’s and disciples’ witness for Jesus, the “world” will expel the disciples from the synagogues and put them to death (16:2). The world will continue to respond to the Paraclete, Jesus’ broker, and to the disciples in the way they responded to him. In light of this context, there is little cause for accepting that 16:8 means the Paraclete will persuade the world of its guilt. We adopt the translation “to prove wrong or guilty” for “ἐλέγχω,”<sup>194</sup> but we contend that this activity of the Paraclete is directed at the disciples, to whom the Paraclete is sent

<sup>191</sup> Brown (1966/70, v.2: 711f.). Brown’s view was later developed by de la Potterie (1977: 399-421). Moloney (1998: 84f.) seems to view the “exposing” of the world as aimed at the disciples.

<sup>192</sup> Bultmann (1971: 566), Lindars (1972: 502), Müller (1974: 76), Schnackenburg (1980/82, v.3: 129), Franck (1985: 64), and Segovia (1991: 228).

<sup>193</sup> Brown (1966/70, v.2: 711).

<sup>194</sup> This translation is consistent with the meaning of “ἐλέγχω” in 8:46a, where Jesus says, “Which of you ἐλέγχει με about [proves me wrong about] sin?”. This question comes in the middle of one of Jesus’ vituperations against the Ἰουδαῖοι, one in which Jesus explains to them that they have “sin” (8:34f.) because they have rejected Jesus’ witness to them from the Father. He goes on to say that they have done so because they are children of the devil, “the father of lies,” and are thus unable to accept the truth. Then he asks them if they are able to prove him wrong in what he has just explicated about sin (8:46a). Because they are unable he then asks, “If I tell the truth, why do you not believe me?” (8:46b). This translation/interpretation of 8:46a makes better sense of the passage than if Jesus is interpreted as asking, “Which of you convinces me of my sin?”.

(16:7).<sup>195</sup> The Paraclete will prove *to the disciples* the guilt of the world just as Jesus, during his ministry, exposed the wrongness of the world “so that those who do not see may see” (9:39). Brown’s interpretation of 16:8 commends itself to us in part because it squares with the characterization of the Paraclete as continuing the work of Jesus. The Paraclete will no more be able to “convince” the world of its guilt than was Jesus.<sup>196</sup> The world could not even hear Jesus’ words, because they are not of God (8:47; cf. 10: 4-5). The turpitude of the world appears more indomitable in John than in any of the other Gospels and is not lessened with the arrival of the Paraclete. But the Paraclete will continue Jesus’ work of exposing the world’s disloyalty to those who believe in him.

We take a hiatus from our exegesis of 16:7-11 at this point to address a potential criticism of our interpretation of the Paraclete as a broker figure. As already stated, those who view the Paraclete as primarily a forensic figure contend that the Paraclete’s role in 16:8-11 constitutes a forensic role.<sup>197</sup> Harvey,<sup>198</sup> Trites,<sup>199</sup> and Lincoln<sup>200</sup> suggest that the ἐλέγχειν activity of the Paraclete in this passage is part of the continuing trial of Jesus and the disciples after Jesus’ departure. Yet there are some serious problems with this interpretation. If the defendants in the trial are Jesus and the disciples, what would be the purpose of the Paraclete’s ἐλέγχειν [proving wrong] the world? According to the Johannine trial story, *the world is no longer on trial*.<sup>201</sup> The verdict against the world has been passed and “the ruler of this world” stands condemned (16:11). But in their blindness, the world continues its trial against Jesus and his disciples, as Harvey, Trites, and Lincoln point out.<sup>202</sup> Who is the judge in this trial? The *world* is the judge, just as in the trial during Jesus’ lifetime the judge was the world as represented by the

Ἰουδαῖοι<sup>203</sup> and Pilate.<sup>204</sup>

<sup>195</sup> This interpretation is supported by that of de la Potterie/Lyonnet (1971: 73-75), though they conclude the Paraclete proves to the disciples that the world is wrong in the context of a trial of the world before the disciples. We find little in the text to suggest that the world continues to stand trial before the disciples even after Jesus has condemned the “ruler of the world.”

<sup>196</sup> Against Carson (1979: 552-553), who asserts that Jesus “proved to the world its guilt” during his ministry, and that this is the point of 15:22, we submit that the point of 15:22 is rather that the world was immune to Jesus’ witness against its guilt. Jesus offered to them his witness but they did not receive it, and that is why they have sin. If Jesus had been able to “bring home to the world its guilt,” if he had been able to make them aware of their falsehood, then they would have known the truth. And this is precisely what the world, as children of the “father of lies,” cannot do. According to the Fourth Evangelist, they do not even hear the truth (8:34-47, esp. v.47).

<sup>197</sup> Brown (1966/70, v.2: 698-701), Harvey (1976: 107f.), Burge (1987: 206-208), and Lincoln (1994: 10-11).

<sup>198</sup> Harvey (1976: 113-114).

<sup>199</sup> Trites (1977: 119).

<sup>200</sup> Lincoln (1994: 10-11).

<sup>201</sup> Contra de la Potterie/Lyonnet (1971: 72-75) who interpret this passage in the context of a trial, in which the world stands trial before the disciples.

<sup>202</sup> Harvey (1976: 103f.), Trites (1977: 114), and Lincoln (1994: 10-11).

<sup>203</sup> Harvey (1976: 4-5).

<sup>204</sup> Ashton (1991: 226-229) and Lincoln (1994: 8-9).



As Christ is the advocate of the disciples before the Father in heaven (14: 16; cf. 1 Jn 2:1), so the Spirit is the earthly advocate of Christ and his disciples before *the world* (emphasis added).<sup>205</sup>

...Christianity - is on trial before *the world* (emphasis added).<sup>206</sup>

Lincoln does not bluntly state the identity of the judge in the post-resurrection "trial of truth," the continuing trial of Jesus and the disciples, but he aligns the trial of the earthly Jesus and that of his followers after his departure so closely, that it is apparent he sees the latter as an extension of the former, as a trial in which *the world is judge*. Thus he writes of the "two-storey story" where...

Sometimes the two perspectives are clearly distinguished and sometimes they are compressed. This applies to the trial of Jesus and the trials of his followers... The issues about Jesus' identity and its implications are formulated in the light of what his witnessing followers have had to face in their own trials.<sup>207</sup>

What would be the purpose of the Paraclete's ἐλέγχειν the world if the world is the judge of the trial.

Whether one translates "ἐλέγχω": "to condemn," "to convict," "to persuade of guilt," or "to prove wrong,"

the Paraclete's activity does not seem to "fit" the trial context of the Gospel. A witness does not condemn, convict, persuade of guilt, or prove wrong the judge as a representative of the defendants.

Harvey interprets the Paraclete's activity in 16:8-11 as "counter-accusing" the accusers. He points out

that in the Israelite forensic context, witnesses not only provide evidence, but they also attack the accuser in order to destroy his or her credibility before the judge.<sup>208</sup> However, such a scenario is not

analogous to that in John 16:8-11. The world is indeed the accuser of Jesus and the disciples. But the

world is at one and the same time the *judge* of the trial. Before whom would the Paraclete counter-accuse

the world? Presumably before the judge of the case. Yet in this case the world *is* the judge. Harvey has

the Paraclete counter-accusing the judge! Trites, on the other hand, insists one should translate

"ἐλέγχω": "to convince." She draws on Old Testament forensic scenes, and cites occurrences of the verb

"ἐλέγχω" in LXX to support her forensic argument.<sup>209</sup> Yet her Old Testament allusions do not really

parallel John 16:8-11.<sup>210</sup> The Old Testament passages Trites cites depict someone "convincing" their

opponent, or as she explains, "elicit[ing] a surrender from one's legal adversary."<sup>211</sup> In these cases, the

---

<sup>205</sup> Trites (1977: 119).

<sup>206</sup> Harvey (1976: 115).

<sup>207</sup> Lincoln (1994: 19).

<sup>208</sup> Harvey (1976: 113-114, 119).

<sup>209</sup> She cites Gen 21:25, 31:42; Lev 19:17; Job 13:3, 40:2; Isa 29:21, 43:9, 41:21-23, 26-28, 44:7, 45:21, 48:14; Amos 5:10.

<sup>210</sup> With the possible exception of Job 13:3, which we deal with below.

<sup>211</sup> Trites (1977: 118).



defendant ἐλέγχει (convinces) his opponent in an effort to cause his opponent to capitulate. Again, the proposed analogy does not match up with John 16:8-11. As argued above, the Paraclete does not “convince” the world of its wrongness in order to elicit the world’s surrender, for the Paraclete functions in relation to Jesus and the disciples, not the world. Furthermore, the world is more than just the disciples’ accuser and opponent in the forensic context of 16:8-11. The world is also the *judge* of the case. Trites analogy demands that the Paraclete as witness/advocate “convinces” in order to elicit a surrender from the judge; here her analogy gets muddy.<sup>212</sup> Is the Paraclete’s role to put an end to the world’s continuing trial of Jesus and the disciples by causing the judge to surrender to the defendant and throw out the case? This conclusion seems incompatible with the Johannine conception of the “world.” Trites cites Job 13:3, where Job says he desires to “convince” God of his case. In this scenario God serves, at least from Job’s perspective, both as Job’s opponent and as the judge of Job’s case. On the surface, this appears to parallel John 16:8-11, in that the defendant strives to ἐλέγξω his opponent/judge. But the Paraclete’s activity in 16:8-11 is not that of convincing Jesus and the disciples’ opponent/judge of their case. The Paraclete ἐλέγχει the world regarding its false conceptions of sin, righteousness, and judgment. The Job parallel does not stand.

The forensic interpretation of 16:8-11 as asserted by Harvey, Trites, and Lincoln just ends of getting one in a mess or leaving key questions unanswered. John 16:8-11 simply proves incoherent as part of the continuing trial of Jesus and the disciples. A further critique of the forensic interpretation of 16:8-11 stems from its failure to account for *all* of the Paraclete sayings. At best, a scholar can claim that it illuminates two, 15:26 and 16:8-11, though we have argued that the trial context of the Gospel only has a bearing on the former. But those who wish to push a forensic interpretation of the spirit have misinterpreted the forensic significance of 15:26. The forensic *context* of the saying has occasioned interpretations of the Paraclete as a forensic *figure*. But the role of the Paraclete in the passage is not primarily forensic. Harvey, Trites, and Lincoln rightly perceive the forensic context of the passage, and properly understand its significance in relation to the continuing trial of Jesus and the disciples by the world after Jesus’ departure, however, they mis-assess the role or function of the Paraclete within that context and how it fits into their “trial” model. In 15:26 we find a non-forensic figure functioning within a forensic context, an all-too-likely scenario in the Mediterranean context where “friends” of an individual were expected to rally to her support if ever she found herself before a judge. This does not make the

---

<sup>212</sup> See Trites (1977: 118-120).

Paraclete a forensic *figure* any more than the disciples of Jesus are forensic figures in 15:27! Whereas the forensic interpretation of the Paraclete in the Farewell Discourses does not explain the role of the Johannine Paraclete, the interpretation of the Paraclete as a broker can explain *all* of the passages.

As argued above, something other than a “cosmic trial” is going on in 16:8-11. We have argued that the ἐλέγχειν work of the Paraclete is directed at the disciples. The Paraclete proves to the disciples the world’s wrongness regarding sin, righteousness, and judgment. How does this activity align with the Paraclete’s brokerage function according to our model of brokerage? To begin with, we recall that exclusivity is a key feature of brokers. A broker needs to be the only means by which her clients can attain access to a certain patron. For if her clients can attain access to that patron through another broker, the value of her brokerage diminishes substantially. The Evangelist portrays Jesus as the exclusive broker to the Father, and throughout the Gospel we find Jesus toppling all other purported brokers to God. This strategy of the Evangelist seems to betray a competitive context in which the Evangelist’s own community was under pressure to forego Jesus’ brokerage for another form of brokerage. Passages such as 9:22, 12:42, and 16:2, where it is hinted that John’s readers were under the threat of expulsion from the synagogue if they confessed Jesus (to be the Messiah, 9:22), suggest that the synagogue authorities likely viewed Jesus as a rival broker and were using threats of violence and expulsion to pressure the Johannine Christians to stay in the synagogue and deny their loyalty to Jesus. It is in just such a situation that a broker will need to vie for clients. When a patron/broker desires either to win more clients, or to secure the ones he already has, he will sometimes use his broker to persuade the clients to adhere to his patronage.<sup>213</sup> John 16:8-11 relays that the Paraclete will prove to Jesus’ clients that the synagogue Israelites, who seem to be identified with the “world” (see 15:26; 16:2-3), are *not* the true brokers to God. They are wrong about sin, righteousness, and judgment. The context of this ἐλέγχειν work of the Paraclete is that of a competition between brokers, where the Paraclete, as a loyal broker/client of Jesus, demonstrates to Jesus’ disciples the unworthiness of the rival broker, the synagogue. By proving this broker wrong, the Paraclete implicitly proves the disciples *right* in their loyalty to Jesus as God’s broker.

Incidentally, in our study of the usage of the word “παράκλητος” prior to John, we noted how a παράκλητος sometimes employs persuasion. In these situations, persuasion is a tool used to help him gain

---

<sup>213</sup> Eisenstadt and Roniger (1994: 93, 97). For ancient, Mediterranean examples, see Cyprian, *Epistles* 38-41 & 59, as well as Q. Cicero, *Commentariolum Petitionis*.

access to a patron's benefits on behalf of his client. And in Philo's *Special Laws* (I. 237) "ἔλεγχος" (conviction) itself is the παράκλητος which persuades God, the patron, to grant forgiveness to his client. Does this passage provide a parallel to John 16:8-11? Not likely. In John 16:8-11 the verb "ἐλέγχειν" is used, not the noun "ἔλεγχος," and the context of the two παράκλητος sayings is quite different. In Philo's saying "ἔλεγχος" (conviction) serves to make access to a particular benefit available from a patron for a client by propitiating the patron, God. In John 16:8-11 a παράκλητος does the *activity* of ἐλέγχειν, persuading his clients of the guilt of rival brokers and encouraging them to remain loyal to God the patron. The two passages cannot be viewed as parallels. In 16:8-11 the Paraclete is not persuading the patron, God or Jesus, to make available certain benefits for the clients, the disciples, rather he is using persuasion to convince the disciples of the world's wrongness so that they will not give in to pressures to abandon Jesus' brokerage for that of the synagogue.

Those who view "παράκλητος" as primarily a forensic term, and who apprehend John 16:7-11 as evidence of the forensic function of John's Paraclete, will likely note that 16:7 is the only instance where the Evangelist uses the title "παράκλητος" on its own, without the accompanying title "Spirit of Truth." Does the Evangelist spotlight the "παράκλητος" title in this passage because of the specifically forensic nature of the passage, as some might suggest? Our interpretation would lead to a negative answer to this question. We have asserted that "παράκλητος" primarily means "broker" or "mediator," not "legal advocate." The Paraclete's activity in 16:8-11 is that of a broker.

We submit that of the five Spirit-Paraclete sayings in John's Farewell Discourses, only one saying, 15:26, attributes a potentially forensic task to the Paraclete, in the sense that the Paraclete witnesses on behalf of Jesus in a forensic setting, yet this task falls within his function as a broker. *Indeed, every saying about the Spirit-Paraclete serves to characterize the Paraclete as a broker to Jesus.* As Jesus' broker he provides his (and Jesus') clients with access to Jesus. Moreover, as a broker he exhorts Jesus' clients to remain loyal to their patron/broker, Jesus, despite the fact that rival brokers are claiming to be the true brokers to God and pressuring Jesus' clients to reject him in favor of the Israelite religion.

This brings us back to our exegesis of 16:8-11. Three aspects of the world's "wrongness" or guilt are highlighted in 16:8-11: the world is wrong about sin; it is wrong about righteousness; and it is wrong about judgment. Firstly, the Paraclete will prove to the disciples that the world is wrong about sin (v.9) ὅτι

[because] the world does not believe in Jesus, and this is truly what constitutes sin. In 16:9-11, the “ὅτι,” is causal<sup>214</sup> rather than explicative<sup>215</sup> and should be translated “because.” The ὅτι clauses explain *why* the Paraclete proves the world to be wrong about sin, righteousness, and judgment. The preferability of the “causal” interpretation is more clear in verses 10-11, as we will see below.

Secondly, the Paraclete will prove to the disciples that the world is wrong about δικαιοσύνης [righteousness] because Jesus is going to the Father and the disciples will no longer be able to see him (v.10). This perplexing clause has occasioned multifarious interpretations. Specifically, various theories exist as to *whose* righteousness the world is wrong about. It could be argued that the verse cannot be saying the world is wrong about their *own* righteousness (as in v.9 they are wrong about their *own* sin) because: 1) how can anyone’s “righteousness” be wrong?, and 2) the ὅτι clause does not seem to make sense if the world’s “righteousness” is denoted. Some scholars resolve some of the confusion by suggesting the righteousness of Jesus is in view in v.10, not the righteousness of the world.<sup>216</sup> So according to these scholars the verse should be understood as saying: the Paraclete will prove the world wrong about Jesus’ righteousness because Jesus is going to the Father, which obviously vindicates his righteousness. But such an interpretation disrupts the symmetry of 16:9-11, since v.9 obviously refers to the world’s *own* sin, and v.11 refers to the world’s wrong judgment. We believe this constitutes a significant flaw, and that one should take seriously the issue of symmetry in 16:9-11. The most natural reading of the three clauses is one in which the person/persons belonging to sin, righteousness, and judgment are the same. In other words, if 16:9 says the world is wrong about sin, meaning their sin, and 16:11 says the world is wrong about judgment, meaning their judgment, then it is natural to read 16:10 as referring to wrongness about their own righteousness. Such a reading would demand that “righteousness” in v.10 is ironic, indicating a “false” righteousness appropriate to the world. This interpretation, which has been submitted by D. A. Carson, has much to commend it.

Carson outlines several points in favor of interpreting “righteousness” ironically in our passage,

<sup>214</sup> Scholars who accept a “causal” translation of ὅτι include Sanders/Mastin (1968: 351), Morris (1972: 698), Lindars (1972: 501), Barrett (1978: 487), Burge (1987: 210), Carson (1991: 561), and Segovia (1991: 231).

<sup>215</sup> Scholars who accept an “explicative” translation of ὅτι include Brown (1966/70, v.2: 706), Bultmann (1971: 563), Stenger (1979: 5), Schnackenburg (1980/82, v.3: 129), and Haenchen (1984: 144).

<sup>216</sup> Bultmann (1971: 563-565), Morris (1972: 698-699), Barrett (1978: 488), Stenger (1979: 12), Schnackenburg (1980/82, v.3: 130-131), Burge (1987: 210). Bultmann proposes δικαιοσύνη should be translated “innocence,” rather than righteousness, and refers to Jesus’ innocence. He argues that the passage’s forensic connotation justifies the use of a forensic word like “innocence” in one’s translation. Using this same reasoning, Brown translates δικαιοσύνη as “justice,” however, he attributes this δικαιοσύνη (justice) to the world rather than to Jesus, thus maintaining the symmetry of 16:9-11. We believe “righteousness” is a better translation than “justice,” since justice seems to be more at issue in 16:11

and we will briefly summarize them.<sup>217</sup> 1) The Evangelist has a penchant for irony. Even the word “belief” in John can bear a negative or positive connotation. 2) One can adduce two passages from the LXX where δικαιοσύνη takes on a negative meaning: Isa 64:6 and Dan 9:18. 3) Such an interpretation proves thematically consistent with the Gospel of John, in which the sacred ways of the Ἰουδαῖοι (their “righteousness”) are repeatedly challenged. 4) Though 16:8-10 presents the only occurrence of “righteousness” in John, the Pauline corpus offers two instances where a negative δικαιοσύνη is implied: Rom 10:3; Phil 3:6-9. 5) In Matt 5:20, Jesus tells his disciples that unless their δικαιοσύνη surpasses that of the scribes and Pharisees, they will not enter the kingdom of heaven. Here Jesus implies that such a δικαιοσύνη brings condemnation rather than salvation. And 6) this interpretation establishes a convincing symmetry throughout 16:9-11.

Though these points may not be convincing in themselves, they evidence that it is certainly *possible* to speak of a false righteousness. The question that now must be addressed is whether the interpretation of δικαιοσύνη as a negative, “false,” righteousness makes sense within the entire clause. Indeed it does. Jesus, throughout his ministry, was proving the world’s righteousness to be wrong, to be “false.” Jesus’ witness, inclusive of both his words and his works, casts in sharp relief the obduracy of the world and served to shed light on their hypocrisy. In rejecting Jesus they proved that their true allegiance was not to God but to “the ruler of this world,” their true patron. Their “guilt” was not brought to light for the world to see, as we have already argued, it was made visible to those who would believe, to those “given” to Jesus by the Father (17:9, 24). With this in mind, the meaning of v.10 becomes more clear: the Paraclete proves the world wrong about righteousness because Jesus is going to the Father and the disciples will not see him anymore, in other words, *because* Jesus will no longer be around to expose the falseness of the world’s righteousness to the disciples himself. This interpretation accords with the characterization of the Paraclete as sharing a functional unity with Jesus. The Paraclete continues Jesus’ work: just as Jesus proved the world guilty about righteousness, so shall he. This aspect of Jesus’ work will not cease because of his return to the Father.

Finally, v.11 foretells that the Paraclete will prove the world wrong about judgment, because the ruler of this world has been condemned. Just as the world has a false understanding of sin and righteousness, so too they have a false understanding of judgment. The “trial” of Jesus, which runs through the Gospel of John will soon climax in Jesus’ death. By putting Jesus to death, the world will

---

<sup>217</sup> Carson (1979: 558-560).



believe it has succeeded in condemning Jesus. According to the world's mistaken wisdom, justice will have been served. But the ironic scheme of the Gospel demands that in death, Jesus triumphs. And his ignominious crucifixion ironically constitutes the final, absolute condemnation by God of the world's *true* patron, the ruler of this world. Because Jesus' "glorification" is conceived of as an event stretching from Jesus' betrayal to his resurrection, during his farewell speech Jesus can tell his disciples that the ruler of this world has already been condemned, and thus so has the world. Even as it prepares to judge Jesus, the world already stands judged.

The final Spirit-Paraclete saying of John's Gospel appears at 16:12-15. Jesus still has many things to say to the disciples which they can presently not bear. But when the Spirit of Truth comes:

he will guide them into all the truth; he will not speak on his own, but will speak whatever he hears, and will declare to you the things that are to come. He will glorify me, because he will take what is mine and declare it to you (16:13-14).

The integral unity between Jesus and the Spirit-Paraclete stands out quite plainly in this passage, but so too does the Spirit's subordination to Jesus. Everything which the Spirit-Paraclete will proffer to believers will have its source in Jesus. And as v.15 suggests, all that Jesus has comes from the Father: "All that the Father has is mine. For this reason I said that he [the Spirit of Truth] will take what is mine and declare it to you." 16:12-15 perspicuously sums up the brokerage relationship between the Father, Jesus, the Spirit-Paraclete, and the disciples, so that one scholar notes, "That the [Paraclete's] activity was here construed in terms of a mediator is very likely."<sup>218</sup> The use of the title "Spirit of Truth" in this passage, without the accompanying title "Paraclete," may signal the Evangelist's desire to emphasize the benefit of "truth" which the Spirit will broker (16:13a). The Spirit-Paraclete brokers truth by providing access to Jesus, the truth. That the Paraclete provides access to Jesus has been a theme all through the Farewell Discourses. Yet the contrast emphasized in 16:12-15 is that between the truth which Jesus' faithful clients will receive, and the falsehood of the world. In 16:8-11 it was implied that those who remain loyal to the world will *not* receive the truth. They are led in the way of falsehood. Those who remain loyal to Jesus, on the other hand, will be guided in the way of truth by the Spirit of Truth.

The verb employed in 16:13a, "ὁδηγήσει [to guide]," bears an affinity to the word used by Jesus in his "I am" statement at 14:6, "I am ἡ ὁδὸς [the way]." As "the way" Jesus provides believers with access

---

<sup>218</sup> Franck (1985: 67).



to the Father; and as the one who “guides” believers into all truth, the Paraclete provides access to Jesus, who is “the truth,” as well as to the words which he will hear from the glorified Jesus. The future tense verbs in these verses reveal that the Paraclete will disclose to the disciples “new” revelations from the glorified Jesus and will not merely recapitulate and explain to them the teachings from Jesus’ earthly ministry. These new revelations will include information about “things that are to come.” Though this is traditionally a task of a “prophet” the Evangelist emphasizes the Paraclete’s dependence on Jesus for this information (v.13b), therefore the Paraclete is portrayed as a prophet only in a limited sense.<sup>219</sup>

### 3. Summary

The Farewell Discourses reflect a period(s) when Jesus’ seeming absence was troubling members of the Johannine community. Within the narrative itself, the disciples’ anxiety over Jesus’ departure mirrors such a situation. Their anxiety is addressed in various ways, including through Jesus’ promises to return to them. The deep concern of the community centered on whether Jesus could continue to broker access to God when he was no longer on the Earth. This concern seems to be behind the emphatic reassertion of Jesus’ role as the exclusive “way” to the Father (14:6). It is dealt with through the introduction of the Paraclete, who continues Jesus’ work and presence among the disciples. The Spirit-Paraclete and Jesus share a functional unity in that many of the tasks which the Paraclete is said to fulfill are earlier ascribed to Jesus. It becomes clear in the Discourses that the Paraclete does not act independently of Jesus, nor is he identical with Jesus in some way. Essentially, the Paraclete perpetuates the presence of Jesus by brokering access to Jesus after he has departed. The Paraclete teaches the disciples by speaking to them what he hears from Jesus (14:26; 16:12:15), he reminds the disciples of what Jesus said to them (14:26), he witnesses on behalf of Jesus in Jesus’ trial before the world (15:26), he continues Jesus’ work of proving to the disciples the wrongheadedness of the world (16:8-11), he guides the disciples into all truth by taking “what belongs to Jesus” and declaring it to the disciples (16:12-15), and he glorifies Jesus by providing the means for Jesus to continue in his role as their patron/broker to the disciples. The Paraclete provides disciples with access to the glorified Jesus, allowing Jesus to continue his work of revealing God to the disciples, of witnessing alongside them, of exposing the darkness of the

<sup>219</sup> See our discussion of the prophetic functions of the Paraclete in the preceding section.

world. In other words, the Paraclete makes it possible for Jesus to continue to be “the way” to the Father, even when he is out of sight of the believers. *He provides a way for Jesus to continue to be a paraclete.*

The “oneness” of Jesus and the Paraclete is not to be understood as identity. The Paraclete is not the spirit of Jesus or the presence of Jesus, for the Paraclete is clearly subordinated to and dependent on him (16:13-15). Burge’s interpretation which melts pneumatology into Christology is not necessary. Just as the oneness of Jesus and the Father in John can be explained by the fact that Jesus provides access to God, so that from the perspective of believers it is *as if* they are hearing God’s words and seeing the Father himself when they see Jesus (10:37-38; 14:8-11), so when they experience the Paraclete it is *as if* they are experiencing Jesus. For it is only through Jesus that believers can know/hear/see God, and it is only through the Paraclete that they can continue to know/see/hear the glorified Jesus. The Paraclete continues Jesus presence and work not as Jesus’ alter ego, but as a broker.

As the spirit is in the Gospel proper, so the Spirit-Paraclete is a benefit which Jesus will broker to believers. But as with the other benefits Jesus provides, the source of the Paraclete is with God. The Father sends the Paraclete via Jesus. Ultimately, the Paraclete is sent to perpetuate the availability of access to God’s patronage. This constitutes the real issue the Evangelist seeks to address. For if Jesus, after his departure, were no longer able to function as the way to the Father, then the Johannine Christians might need to think twice before forfeiting their ties to the synagogue. But the Evangelist makes clear: in a little while Jesus will come back! He and the Father will make a home with them, and it is the brokerage of the Paraclete which will bridge the distance between the disciples and the place to where Jesus goes.

The Evangelist’s dualistic perspective likely accounts for the designation “Spirit of Truth” for the Spirit-Paraclete. As the *true* Spirit, the Paraclete stands apart from the false spirits of the world. Consequently, to call the Spirit-Paraclete the truth is to make a competitive claim against those opponents. While the Spirit-Paraclete is the *true* broker, the brokers they rely on are impostors. Furthermore, the Paraclete is the Spirit of Truth because he guides disciples on the way to truth (16:13), that is, the way to Jesus “the Truth” (14:6).

In our work on the Paraclete as broker, we have extended the work of scholars like Bultmann, Mowinckel, Betz, Johnston, and Franck who have appreciated the Paraclete’s function as a mediator. The key function of the Paraclete is indeed to bridge the divide between the disciples and Jesus. The

advantage of our study is that it does not require a direct link between the Evangelist's concept of "mediation" and a specific mediator figure in the history of religions. The religious-historical explanations of John's Paraclete have failed to convince or to build a relative consensus in scholarship. The brokerage model resides on a higher level of abstraction, however, and can be shown to be a social phenomenon throughout Mediterranean culture, and to have been practiced widely in the ancient Mediterranean region. It is very likely the Evangelist, like others in his culture, frequently experienced and observed brokers who functioned to provide people, their clients, with access to the benefits of some patron(s) who was out of their reach. Furthermore, it is likely that people in his culture, who believed that access to the higher orders had to be mediated, conceived of God as out of reach save for the brokerage of mediator figures. It is therefore likely that he drew on these general experiences and assumptions in characterizing the Paraclete as the one who provides access to Jesus, as well as in characterizing Jesus as the way to the Father, with both figures bridging the divide between disparate spheres. It is not necessary to pinpoint a particular manifestation of brokerage in the history of religions as the origin of John's brokerage concept. The mediator figures in Old Testament tradition, the angels of intertestamental literature (ie Michael), and the Mandaen helpers likely were *all* understood as brokers. But we cannot know if any of these figures served directly as a model for the Evangelist.

## Chapter Five

### Spirit in 1 John

#### 1. Exegesis of Spirit Passages in 1 John

The focus of our study now shifts to the pneumatology of 1 John, as we hope to demonstrate what development took place between the Epistle and the Gospel with regard to pneumatology.

Understanding the pneumatology of the different writings helps us to discern whether one developed out of the other, whether one was a reaction to the other, or whether they are incongruous and address different circumstances. Our intention is to demonstrate the interrelationship between the contexts of the Gospel and the Epistle.

We postulate that the opponents behind 1 John understood Jesus' brokerage to climax in his giving over of the spirit, who in their view took over as permanent broker between God and believers. The opponents likely understood spirit to be the ultimate benefit which Jesus was sent to broker. Perhaps they felt Jesus "took on" the Christ at the moment when the spirit came to abide on him, and perhaps they even viewed the abiding presence of the spirit on Jesus, as well as his brokering of the spirit to the disciples after his resurrection, as the ultimate and only significance of his life as a man.

1 John has been broadly deemed a "polemical" piece. Even those who view the polemical purposes of the document as subordinate to other purposes<sup>1</sup> acknowledge that portions of the document were written to counter views inimical to those of the author and his community. The spirit passages of 1 John correlate to these polemical sections. Therefore, we begin our study of 1 John by outlining the contours of the opponents' views in order to equip us to interpret how the spirit sayings function in the author's polemic against them. Defining the views of the 1 John opponents proves risky, however. Any information we have about them comes solely from 1 John, a decidedly partial witness. But if we are unable to know about the opponents firsthand, at least we can know something of what the author of 1 John thought of them.

Certain verses in 1 John seem to hint at the beliefs and actions of the opponents. For example:

Whoever says, "I have come to know [God]," but does not obey his commandments, is a liar (2:4).

Whoever says, "I abide in [God],"                      ought to walk just as he walked (2:6).

Whoever says, "I am in the light,"                      while hating a brother, is still in darkness (2:9).

<sup>1</sup> For example, Lieu (1991) and Edwards (1996).

Those who say, "I love God," and hate their brothers, are liars... (4:20).

Most scholars accept that the quoted statements in these verses indicate assertions of the opponents. In these verses the author seems to be confronting his opponents' hypocrisy, since their behavior does not measure up to their claims.<sup>2</sup> Many scholars also take 1:6, 8, and 10 as indications of the opponents' claims, yet Judith Lieu<sup>3</sup> and Ruth Edwards<sup>4</sup> justifiably contend that these verses are warnings to the community. Unlike the sayings above, 1:6, 8, and 10 begin "If *we* say..." (emphasis added), and are probably addressing moral confusion within the community itself.<sup>5</sup> Yet even if these statements are addressed to moral waverers within the community, the opponents are probably not far from view, since they are the ones competing for the loyalty of the waverers within the group.<sup>6</sup> Besides the aforementioned sayings, other verses insinuate views which the author is seeking to refute, or provide other information about the opponents. 2:19 tells us the opponents were once a part of the community but "went out" from them. 2:22 implies the opponents deny "that Jesus is the Christ," and thus deny "the Father and the Son." 3:17 insinuates they possess "the world's goods" yet refuse to help brothers and sisters in need. 4:1-6 suggests the opponents claim to prophesy via the spirit.<sup>7</sup> 4:2-3 implies they do not confess Jesus Christ having come in the flesh (v.2),<sup>8</sup> and in v.3, just do not "confess Jesus." In 4:5 we learn "the world listens to them." 5:1 infers the opponents do not believe Jesus was the Christ. And finally, 5:6 implies the opponents believe Jesus Christ came by water only, not by blood, probably meaning they deny the significance of Jesus' death (see below). Summarily, the 1 John opponents: 1) claim to know, abide in, and love God, and to "be" in the light, yet they lack probity and, most importantly, fail to "love" their brothers, which is probably a way of saying they are disloyal to the community. 2) They seem to claim the mediation of the spirit. And 3) they uphold a false Christology, which involves a

---

<sup>2</sup> Whitacre (1982: 134).

<sup>3</sup> Lieu (1991: 50, 58-60).

<sup>4</sup> Edwards (1996: 58, 67).

<sup>5</sup> Painter (1986: 51), on the other hand, argues that the variation in the introductory formulae of these "boast" sayings is merely a stylistic device. We find it difficult to accept that the author of 1 John, who is given to dualistic "us and them" language, would have introduced a "boast" of his opponents using the pronoun "we," "If we say..."

<sup>6</sup> Some authors argue strongly, based on 1 John 1:6-10, that the opponents' made claims to sinlessness. See for example Bogart (1977) and von Wahlde (1990: 162-185). But because the author of 1 John phrases the claims in these verses "If *we* say," we believe it is harder to detect views of the opponents within these verses. However, the author could here be latently alluding to views of the opponents' by which waverers in his community were being seduced. Nonetheless, we feel scholars are on relatively shaky ground in characterizing the opponents as "heretical perfectionists" based on 1 John 1:6-10.

<sup>7</sup> This is also the view of Brown (1979: 138-139).

<sup>8</sup> cf. 2 Jn: 7. The question has been raised whether 1 John 4:2b could be translated "...every spirit that confesses Jesus as the Christ who has come in the flesh..." In this case the formula would be similar to that in 2:22 and 5:1, and the word "Christ" would be a predicate accusative. However, certain factors make this translation of 4:2b unacceptable: 1) The title "Jesus Christ" is used as a fixed expression five other times in 1 John (1:3; 2:1; 3:23; 5:6a, 20c), and 2) the lack of an article before the participle "ἐληλυθότα" would not allow it (Schnackenburg [1992: 200]).

denial of the significance of Jesus Christ's "blood."<sup>9</sup>

The opponents' erroneous Christology must have been of great moment, for the author of 1 John places substantial weight on the need for proper confession of Jesus Christ. What, specifically, was wrong with the opponents' view? Some of the inimical beliefs inferred in 1 John, such as the denial that Jesus is the Christ, that Jesus Christ came in the flesh, and that Jesus Christ came by blood, have led many scholars to conclude the opponents believed the Christ was revealed or incarnated in Jesus, but did not believe the human life of Jesus the Nazarene was of significance.<sup>10</sup> So while they accepted that Jesus was used by God to reveal the Messiah, they denied that Jesus, the man who died on a cross, *was* the Messiah come in the flesh, and thus denied Jesus' death bore salvific importance. Therefore, the author of 1 John insists one must confess that *Jesus* is the Christ (2:22, 5:1), that *Jesus Christ* came in the flesh (4:2), and that *Jesus Christ* came by blood (5:6). Part of the strategy of 1 John's teaching on Christology involves the compounding of the names "Jesus" and "Christ" (1:3; 2:1; 3:23; 4:2; 5:6, 20),<sup>11</sup> as well as the joining of the name "Jesus" with the title "Son of God" (4:15; 5:5, 20). These locutions challenge those attempting to separate the Christ from Jesus or Jesus from the Christ. The opponents' Christology does not evince a simple docetism,<sup>12</sup> the belief that Jesus Christ "seemed" human while not being human at all. Rather in 1 John the opponents seem to draw a *distinction* between the human Jesus and the divine Christ (see 2:22). Neither can the opponents be identified as Ἰουδαῖοι who deny that the Messiah was somehow revealed in Jesus.<sup>13</sup> Not only does this proposal lack evidence in 1 John,<sup>14</sup> but the 1 John opponents were once a part of the Johannine community, and it is rather inconceivable that someone could have been a member of that community without accepting Jesus' messiahship in some sense.<sup>15</sup>

That the opponents accept Jesus Christ came "by/in water" but not "by/in blood" (5:6), probably

<sup>9</sup> For other summaries of the views of the 1 John opponents, see Grayston (1984: 16-18), von Wahlde (1990: 108-115), Schnackenburg (1992: 17f.), and Rensberger (1997: 21-25). Our summary is similar to these but does not follow any of them precisely.

<sup>10</sup> See for example, Bultmann (1973: 38-39), Whitacre (1982: 131), Brown (1982: 75f.), Painter (1986: 64-65), Schnackenburg (1992: 17-24), and Rensberger (1997: 23, 112).

<sup>11</sup> Rensberger (1997: 112).

<sup>12</sup> Grayston (1984: 21-22), von Wahlde (1990: 112-113), Schnackenburg (1992: 23), and Rensberger (1997: 112). Against de Jonge (1970: 69).

<sup>13</sup> de Jonge (1970: 70), Marshall (1978: 16-17), Painter (1986: 65), Schnackenburg (1992: 18), and Edwards (1996: 64). Contra Smalley (1984: xxiii) who considers "heretically inclined members from a Jewish background" to be one of four distinct groups of opponents in 1 John, albeit not the group which has seceded from the Johannine community.

<sup>14</sup> Though some might find 2:23 as evidence of a conflict with non-believing Israelites who would have claimed to "have the Father" while denying Jesus, the Son. But certainly there were many non-Israelites who claimed to have and know God, "the Father." Just because the author of 1 John calls God "the Father" in 2:22-23, as he does elsewhere, does not mean that in those verses he is addressing the views of non-believing Israelites.

<sup>15</sup> Schnackenburg (1992: 18).



means they deemed Jesus' baptism as salvifically important, but not his death.<sup>16</sup> Perhaps they viewed the baptism of Jesus as the point when the Christ came to be revealed/incarnated in him. Though the Fourth Evangelist does not narrate the baptism of Jesus, the baptism tradition was likely known to the 1 John community and one can understand how the opponents could have interpreted the meeting between Jesus and the Baptist at the Jordan River as a crux in the life of Jesus Christ. In all four gospel accounts, the spirit from heaven descends on Jesus at that meeting (see Mt 3:13-17; Mk 1:9-11; Lk 3:21-22; Jn 1: 29-34). Furthermore, the Synoptics tell us a "voice from heaven" witnesses to Jesus' identity as the "Son," and the Fourth Gospel has John, who was sent that Jesus might be revealed to Israel, testifying to Jesus' identity as the "Son of God." Still, though the opponents seem to believe that the Christ "came by water" at the baptismal event of Jesus' life, they are not necessarily "Cerinthians."<sup>17</sup> The proto-gnostic Cerinthus of the early second century did teach that the Christ came upon Jesus at his baptism and departed from him before his death.<sup>18</sup> Yet others of his principal views are not evidenced in 1 John.<sup>19</sup> The most that can be said with confidence is that the 1 John opponents share a view in common with the Cerinthians, the view that Jesus' baptism was crucial to the revelation of the Christ, while his death carried no significance for salvation.

As we have noted, the author of 1 John challenges the views of the opponents, encouraging his readers to stay true to the teachings they had "heard from the beginning" (cf 2:7, 24; 3:11), the kerygmatic proclamation of the community.<sup>20</sup> 1 John betrays a concern that some within the community were vulnerable to the opponents' teachings and needed reassurance that the community and its traditions were true.<sup>21</sup> Therefore, the author teaches that those who keep the "commandment" they received through the tradition of the community and do not sin, those who maintain the Christological confessions of the community, and those who "love one another" by remaining loyal to the community, have fellowship with God and are God's children (cf. 1:1-3; 2:3-7, 20-27, 2:29-3:2a; 3:9-15, 18-24; 4:2-4,

<sup>16</sup> Westcott (1966: 181), Bultmann (1973: 79-80), Malatesta (1978: 312), Marshall (1978: 231-232), Coetzee (1979: 48-49), Schunack (1982: 94), Whitacre (1982: 130-131), Smalley (1984: 278), Painter (1986: 65), Kysar (1986: 107-108), Schnackenburg (1992: 232-234), and Rensberger (1997: 132). Brown (1982: 578) believes the opponents held such a view, however, unlike the majority of scholars, he does not interpret "water and blood" in 5:6a as referring to the baptism and cross of Jesus, but as a reference to the event narrated at John 19:34. Von Wahlde (1990) asserts that the opponents believed Jesus' death (blood) was of no value in achieving salvation (p.152), but he does not take "water" to denote Jesus' baptism. Rather he sees "water" as signifying the giving of the spirit by Jesus which, in the eyes of the opponents, was all that was necessary for salvation (p. 152-158).

<sup>17</sup> Brown (1982: 65-67, 578), Whitacre (1982: 130-131), Grayston (1984: 14-16), Smalley (1984: 278-279), Lieu (1991: 14-15), Schnackenburg (1992: 21), and Rensberger (1997: 23-24).

<sup>18</sup> Brown (1982: 65-66).

<sup>19</sup> Brown (1982: 65-67), Whitacre (1982: 130-131), Grayston (1984: 14-16), and Schnackenburg (1992: 21).

<sup>20</sup> Lieu (1991: 29-30).

<sup>21</sup> Whitacre (1982: 140).

7, 15; 5:1-5, 9-12, 18-20). They actively love God through keeping the commandment and through proper confession, maintaining the covenantal relationship characterized in 1 John as “abiding.”<sup>22</sup> The author of 1 John also adduces the spirit, albeit guardedly, as evidence of the community’s faithful relationship to God. With this, we turn to the spirit passages of 1 John.

Though the first occurrence of the word “spirit” in 1 John appears at 3:24, many commentators take the “anointing” mentioned in 2:20 and 27 as a reference to the Spirit.<sup>23</sup> So that is where we shall begin. In the context of warning the community about the “antichrists” who have gone out from them, and reassuring them that such defectors could not have “belonged” to them, the author of 1 John writes, “But you have a *χρῖσμα* (anointing) from the Holy One, and all of you have knowledge” (2:20). These words serve as an exhortation to those who have remained faithful to the community: they have a *χρῖσμα*, and thus can have confidence in relation to the anti-*χριστοι*. They are the antithesis of these betrayers. It seems the author uses “*χρῖσμα*” in this passage to effect a word-play: those who do not confess Jesus are “*ἀντίχριστοι*,” but the faithful have received a divine “*χρῖσμα*.”<sup>24</sup> One need not postulate that the word “*χρῖσμα*” was borrowed from the practice of a sacrament of anointing.<sup>25</sup> “Anointing” language can be found in both the Old and New Testaments (1Sam 16:13; Isa 61:1; Lk 4:18; Ac 10:38; 2 Cor 1:21). But what is the meaning of the 1 John 2:20 “anointing”? The biblical references cited all associate being “anointed” with the spirit. Does anointing in 2:20 denote a gift of spirit?

The “anointing” features in the following verses:

- 2:20 you have an anointing from the Holy One
- 2:27a the anointing that you received from him abides in you
- 2:27b his anointing teaches you about all things

It is often noted that “abiding with you” and “teaching you all things” are activities of the Johannine Spirit-Paraclete (Jn 14:16-17, 26). But it is methodologically unsound to directly interpret 1 John through the nexus of the Fourth Gospel, despite their apparent affinity. In 1 John, “the word of God” is said to abide in believers (2:14); so is “God’s seed” (3:9), “eternal life” (3:15), “God’s love” (3:17), and “God” (3:24; 4:13-16). Yet nowhere is it stated that the *spirit* abides in the faithful. In fact, in 3:24b and 4:13, we read that possession of the spirit evidences *God’s* abiding in believers. There the spirit

<sup>22</sup> See Malatesta (1978: 289, 304-307).

<sup>23</sup> Schunack (1982: 46-47, 49), Ruckstuhl (1985: 51), Kysar (1986: 61-62, 65-66), Painter (1986: 52), von Wahlde (1990: 144-146), Schnackenburg (1992: 141f., 149-150), and Edwards (1996: 75-76). Those who take “anointing” to denote both the spirit and the word of God include, Marshall (1978: 153-156), Whitacre (1982: 142-143), Smalley (1984: 107), and Hiebert (1989: 83).

<sup>24</sup> Smalley (1984: 105).

<sup>25</sup> Contra Bultmann (1973: 37) and Grayston (1984: 84-87). The earliest evidence of an “anointing sacrament” by Gnostics comes from the second century *Gospel of Philip*.

constitutes a “proof,” not an abiding presence. Also significant are the striking parallels between 2:27a, which mentions the “anointing,” and 2:24a. The following word-for-word translation of the Greek makes this evident<sup>26</sup> :

- 27a You/the *χρῖσμα* which you received/  
from him/remains in you.
- 24a You/what you heard/  
from the beginning/in you let it remain.

These parallels seem to align the community’s *χρῖσμα* with “what you heard from the beginning.” And in 2:7, what they had heard from the beginning is called “the word,” just as in 1:1 the declaration of “what was from the beginning” concerns “the word of life.” All in all, evidence suggests that the anointing which the community is told abides in them, denotes the “word,”<sup>27</sup> not the spirit. The “word of God” is said to abide in them (2:14), as is the anointing. The anointing teaches them, just as the message of 1 John itself (the declaration of what was from the beginning [1:1; 2:7; 3:11]) teaches them. God, God’s seed, God’s love, God’s “word,” and “eternal life,” are all said to be abiding in the faithful, therefore, they have knowledge of the truth (2:20-21). These statements function to encourage a community in their opposition to those who claim to know, abide in, and love God and who claim to have the spirit, yet who reject their fellowship. The author exhorts his audience to be secure in their faith despite this abandonment, for only those who affirm the tradition of the community truly have God’s spirit (4:2) and abide in the Son and the Father, thus having eternal life (2:24-25).

That the author claims a *χρῖσμα* for his community without associating it with spirit though anointing language traditionally denotes spirit, could signal a deliberate avoidance of spirit on his part. 4:1-3 implies that his opponents claimed to prophesy via God’s spirit. Perhaps they even claimed to have a *χρῖσμα* of spirit. It could be, then, that the author of 1 John must carefully avoid spirit-language which could be taken as fodder for the opponents’ position, while still confirming that his own group is divinely anointed. He seems to do this by aligning the community’s divine *χρῖσμα* with exactly what his opponents do not have: God’s “word,” in the form of the tradition which the community had heard from the beginning. We will further discuss the author’s avoidance of spirit-language later in our study.

The first use of “spirit” in 1 John does not appear until 3:24b. We already mentioned 3:24b and

---

<sup>26</sup> Grayston (1984: 87).

<sup>27</sup> de la Potterie/Lyonnet (1971: 99-116) lean in this direction. They perceive the anointing to be “*God’s word*, not as it is preached externally in the community, but as it is received by faith into men’s hearts and remains active, *thanks to the work of the Spirit*” (p.114-115).

4:13 above. These spirit sayings are nearly verbatim:

3:24b καὶ ἐν τούτῳ γινώσκομεν ὅτι μένει ἐν ἡμῖν, ἐκ τοῦ πνεύματος ὃ ἡμῖν ἔδωκεν.

4:13 Ἐν τούτῳ γινώσκομεν ὅτι ἐν αὐτῷ μένομεν καὶ αὐτὸς ἐν ἡμῖν, ὅτι ἐκ τοῦ πνεύματος αὐτοῦ δέδωκεν ἡμῖν.

The context of these sayings deals with the themes of love for one another and legitimate Christological confession (3:23; 4:7-15). More specifically, the author explicates *who* abides in God: in 3:23-24, those who obey God's commandment to believe in the name of Jesus Christ and to love one another abide in God, and God in them. And in 4:13-15, those who confess that Jesus is the Son of God abide in God, and God in them. The author seems to be reassuring his readers that they share an abiding relationship with God because they do these things. But he goes even further than this and tells them how they can be sure of God's abiding in them, and their abiding in God. He writes that they can know God abides in them "by the Spirit" that he has given them; their possession of the spirit provides evidence of this abiding relationship. Because they have this spirit, they can know that they experience covenantal unity with God. It is important to distinguish between the conditions of the abiding and the evidence of it. The author does not say the believers abide in God, and God in them, *if* they have the spirit. Rather, they abide in God if they have believed that Jesus is the Christ and the Son of God, and if they have loved their brothers (3:23-24; cf. 4:15). Other conditions of abiding include remaining in what they heard from the beginning (2:24). These are the conditions of the abiding.<sup>28</sup> Those who meet these conditions receive God's spirit, the possession of which provides concrete evidence of their status as those who abide. Possession of spirit is nowhere depicted as the substance of the abiding relationship. It is the evidence of it.

If having the spirit provides evidence of abiding, how does one know or perceive one has it? The very fact that possession of the spirit is adduced to reassure the community of their abiding relationship with God implies that that possession will be evident to them. How is it evident? The verses following 3:24 give some indication.<sup>29</sup> But they also reveal that the "evidence" of the spirit proves difficult to discern. At 4:1a the author of 1 John sounds a caveat, "Beloved, do not believe every spirit, but test the spirits to see whether they are from God." He associates the spirits not "from God" with false prophets (4:1b). Furthermore, he says the spirit of God is known by proper confession of Jesus: "every spirit that confesses that Jesus Christ has come in the flesh is from God" (v.2), while the

---

<sup>28</sup> Brown (1982: 482).

<sup>29</sup> Brown (1982: 483).

spirit of the antichrist does not confess Jesus (v.3). The allusions in this passage to prophets and verbal confessions infers that the evidence of whether or not a spirit comes from God emerges in the form of speech or teaching. 1 John's test of the spirits bears an affinity to the Deut 18 test of prophets.<sup>30</sup> According to Deut 18:15-22, the true prophet like Moses speaks the words of God, while false prophets speak the word God has not commanded. To determine whether a prophet is false or true, the Israelites are instructed to observe whether his prophecy takes place or proves true. If it does not, the prophet is deemed false. He has presumptuously claimed to bear information from God, yet his information has proved to be untrue. Similarly, the spirits of 1 John 4:1-6 are evaluated by the confession which they inspire. A proper confession of Jesus confirms a spirit as "from God" and serves as evidence that one possesses God's spirit,<sup>31</sup> while not confessing Jesus demonstrates a spirit's origin in the antichrist. The two spirits are named the "spirit of truth" and "the spirit of error" in 4:6b, terms which have their precedent in Israelite literature,<sup>32</sup> but which, in 1 John, fit the dualistic framework of the author's thought.<sup>33</sup>

With the majority of interpreters we understand the "spirits" in 4:1-6 to be of an incorporeal nature;<sup>34</sup> they do not seem to be "human spirits" or tendencies.<sup>35</sup> For one thing, "the spirit that [Jesus] has given us" in 3:24 and "the spirit of God" in 4:2 seem to be related, and 3:24 clearly does not refer to the human spirit or soul. It refers to the divine spirit. And there is no indication in 4:1-6 that the author of 1 John shifts from talking about divine spirits to talking about human spirits, and back and forth again. It is fair to assume consistency on his part unless there exists a lucid reason not to. The author of 1 John seems to assume that people are under the influence of spirits,<sup>36</sup> either the spirit of God or the spirit of the antichrist, and that spiritual powers inspire human confession. But apparently the community must discern whether or not different spirits confess Jesus based on the confession of the persons under their power. If a person confesses that Jesus Christ has come in the flesh, the community will know the spirit influencing that person confesses Jesus and is "from God." The only way one can

<sup>30</sup> Brown (1982: 488).

<sup>31</sup> Brown (1982: 483).

<sup>32</sup> See *TestJud* 21 and 1QS 3:18-21 where these spirits signify the good and evil inclinations of human beings according to Israelite anthropology. We argue below that the "spirits" in 1 John do not denote human inclinations.

<sup>33</sup> On dualism in 1 John, see Whitacre (1982: 168-176), Lieu (1991: 80-87), Edwards (1996: 76-78), Schnackenburg (1992: 31), and Tollefson (1999).

<sup>34</sup> See Bultmann (1973: 61), Malatesta (1978: 284f.), Brown (1982: 486), Ruckstuhl (1985: 60-61), Kysar (1986: 90), Lieu (1991: 47), Rensberger (1997: 114).

<sup>35</sup> Against Marshall (1978: 204), Coetzee (1979: 52), Smalley (1984: 218), and Schnackenburg (1992: 193), who believe the word "spirits" in 4:1-6 denotes human spirits inspired either by the spirit of God or the spirit of the antichrist. Grayston (1984: 118) takes "spirits" to mean "inspired utterances."

<sup>36</sup> Brown (1982: 489).



know what a spirit confesses is through the persons under that spirit's control. 4:1-3 implies that false prophets who "ἐξελήλυθασιν (have gone out)" (cf. 2:19) into the world are claiming to speak by the spirit of God,<sup>37</sup> and the world is listening to them (v.5b). Against this background, the author must encourage his community to trust that despite what these false prophets might claim, they themselves are the ones truly speaking by God's spirit. The community can know this because they confess that Jesus Christ has come in the flesh. In other words, because their confession measures up to the traditional confession of the community, they can know they possess God's spirit (4:2). And this possession of the spirit can reassure them of their abiding relationship with God (3:24; 4:13-15).

The suggestion in 4:1-3 that the opponents in 1 John claim to speak by God's spirit bears significance for how we understand the author's approach to spirit. We already noted his use of *χρῖσμα* to denote the "word of God" which the community had heard "from the beginning," despite the fact that *χρῖσμα*-language usually pointed to the spirit. In his reference to *χρῖσμα*, could the author be skirting around spirit because his opponents place undue emphasis on the spirit? Such a scenario would not demand that the author borrowed the word "*χρῖσμα*" from them; this we cannot know. However, 4:1-3 suggests that the opponents claimed the mediation of the spirit, whether or not they described it as a *χρῖσμα*. The way the author perspicuously points his readers to the tradition of the community as that which truly legitimates them as children of God, implies that he is crafting an alternative to the opponents' reliance on spirit. He manages to make it halfway into the letter before even mentioning the word "spirit," instead placing great stress on the centrality of tradition, "what you heard from the beginning." When he does eventually get around to breaching the topic of spirit he does so in a markedly guarded and ambivalent fashion. He adduces spirit as evidence of the community's abiding relationship with God, but then cautions readers not to misread the "spirits." This is an interesting tactic. Apparently, the author cannot avoid mentioning spirit altogether. In fact, he believes spirit to be crucial for salvation, since spirit facilitates the proper confession of Jesus upon which salvation is contingent. He is in quite a dilemma, then. His opponents probably claim to prophesy via God's spirit, a claim he seems to refute. Yet he cannot dismiss spirit altogether, for it apparently plays an important role in his own theology. Therefore, he skirts around the issue of spirit while stressing tradition.<sup>38</sup> Only after he has established the importance of tradition does he bring in the spirit. But then he must justify the claim that his community is the true bearer of the spirit by staking that claim

---

<sup>37</sup> Brown (1979: 138), Whitacre (1982: 144).

<sup>38</sup> Brown (1979: 140f.).



on tradition. They know they have God's spirit because they make the proper confession of the community.

The author's teaching in 3:23 to 4:1-6 betrays both polemical and reassuring purposes. He refutes the spirit-claims of the opponents who do not "confess Jesus" but he does so in order to inspire confidence in those whose confession is pure. However, his argument turns out to be circular. The author's argument can be summarized as follows:

1. *if they believe in Jesus Christ (ie make a proper confession of Jesus) and love one another, then they abide in God, and God in them (3:24a).*
2. *And the possession of the spirit (of God) is the evidence of this abiding relationship (3:24b). In other words, possession of the spirit of God is evidence that they have made a proper confession of Jesus and that they love one another.*
3. *but one must test the spirits, since there exist two spirits, the spirit of God and the spirit of the antichrist (4:1-6).*
4. *And the proper confession of Jesus is evidence of a spirit being the spirit of God (4:2). In other words,*
5. *if someone makes a proper confession of Jesus, then they will know that person has the true spirit of God (4:2).*

In the end, the author's argument in this section does not seem to be going anywhere. He adduces the possession of the spirit as evidence of the abiding relationship which results from proper confession of Jesus and from love, but has to qualify his teaching since there exists more than one spirit. A claim to have the spirit is not adequate evidence, since even false prophets can claim to speak by the spirit of God. Therefore he must address the question, "how does one know someone has the right spirit?". His answer brings him back to where he started: one knows someone has the right spirit if that person makes the proper confession. Apparently, the spirit serves as evidence of one's abiding in God, and God in oneself, because the spirit facilitates the proper confession which is a precondition of that abiding. But in the end the proper confession itself seems to be the only reliable evidence of that abiding, since it is only in the pure confession of Jesus that the "evidence" of God's spirit can be discerned.

A claim to speak by the spirit would not demand that the 1 John opponents are "ecstatics" or "spiritual enthusiasts."<sup>39</sup> 1 John proffers no evidence in support of such a characterization of the opponents.<sup>40</sup> The implicit references in 1 John to the views and actions of the opponents give no

<sup>39</sup> Contra Painter (1986: 66) who assumes the opponents' claims to spirit mediation imply that they were speaking in tongues.

<sup>40</sup> Brown (1979: 139-140), Schnackenburg (1992: 18, 194), Lieu (1991: 30, 47), Edwards (1996: 58).

indication of ecstatic behavior. They are faulted for their doctrines and lack of moral uprightness (or disloyalty), but not for exhibitions of spiritual enthusiasm. They do seem to claim the mediation of God's spirit, and the author of 1 John attempts to refute this claim. But a group can claim to speak by the spirit without being ecstatics. In his polemic in 4:1-6, the author does not oppose the idea that people speak via different spirits. If he meant to challenge an objectionable claim to ecstatic, spirit inspiration then he likely would not have done so by teaching that all people are under the control of spirits (4:1-6). What he does challenge is the assertion that the spirit inspiring the teaching of the opponents emanates from God (4:2-3). He wishes to prove, though, that God's spirit lies behind the Christological confession of *his* community. Yet there is nothing in 1 John demonstrating either group envisions their interaction with the spirit in ecstatic terms. Though spiritual "ecstasy" may have been prolific in ancient Mediterranean culture, it cannot be assumed in view of the lack of evidence that the 1 John community or their opponents were ecstatics.

We submit that the opponents' claim to prophesy by the spirit is not an issue of spiritual enthusiasm, but is rather a claim to have the brokerage of God's spirit. 1 John 4:1-3 implies the opponents claim to be prophets speaking by the spirit "from God." This construct suggests they believe themselves to be prophets connected to God through the brokerage of God's spirit. It is likely they believe the Holy Spirit makes available to them words from God, which they in turn "prophesy." Such a situation proves intriguing in light of the ubiquitous Johannine emphasis on the brokerage of Jesus, and in the Farewell Discourses, on the brokerage of the spirit. Could it be that the opponents' emphasis on the spirit's brokerage somehow issues from the Gospel's emphasis on brokerage as a theological concept? We are compelled to postulate a possible scenario to explain the interrelationship between what appears to be happening in the context of 1 John, and issues addressed in John's Gospel.

First of all, we must ask: could the opponents' conception of the spirit as broker have developed out of the belief reflected in the Farewell Discourses that the spirit serves as broker after Jesus' departure? In those discourses, the Evangelist does cast the spirit in a brokerage role. In one passage the Evangelist does state that the Paraclete-Spirit will lead the disciples into all truth (16:13). Is this the sort of spirit mediation being claimed by the opponents? There does appear to be some similarity between the spirit's brokerage as characterized in the Discourses and the spirit's brokerage as adduced by the opponents. *However*, there are key elements of the Evangelist's teaching on the

spirit's brokerage in the Farewell Discourses which the opponents seem not to heed. As we noted above, the brokerage of the Paraclete is inextricably bound up with the brokerage of Jesus. Nowhere in the Farewell Discourses does the Evangelist state that the Spirit-Paraclete brokers benefits directly from God. Every benefit he makes available to believers emanates directly from Jesus, and the spirit's work of brokerage continues the work of Jesus as broker in that the benefits Jesus provided in his ministry continue to be made available to the disciples from the glorified Jesus, only now through the mediation of the Paraclete. The Spirit-Paraclete will indeed lead the disciples into all truth, *but* he will speak only what he hears from Jesus (16:13-15). According to 1 John's polemics, the opponents of the community disparage the importance of the earthly Jesus. They reverence the "Christ" who was revealed in Jesus but fail to confess that Jesus, the man from Nazareth, *is* the Christ. This Christological belief, or misbelief as the author of 1 John argues, does not comport well with the construction of brokerage presented in the Farewell Discourses. Those Discourses insinuate that Jesus will "return" to the disciples through the mediation of the Paraclete, and they state that the tasks of the Paraclete include recalling to mind what the earthly Jesus has said. The Paraclete will "glorify" Jesus by perpetually making available what is "his" to believers (16:14). In the Farewell Discourses we find a degree of emphasis on the continued significance and presence of Jesus that would seem to contradict the opponents' views on Jesus. Consequently, it does not seem that the opponents derived their understanding of the spirit as broker directly from the Farewell Discourses.<sup>41</sup>

Urban von Wahlde, who summarizes the perspective of the 1 John opponents as a "radical pneumatology" consisting of the belief that the spirit provides direct access to God thus rendering Jesus superfluous,<sup>42</sup> likewise concludes that the Farewell Discourses could not have formed the basis of the opponents' views.<sup>43</sup> We agree. However, the brokerage theology of the Gospel proper may have formed the basis for their views. It is possible that the opponents' spirit-as-broker pneumatology stems from the brokerage theology of the Johannine tradition which is so evident elsewhere in John. The Gospel of John teaches that access to the Father, God, must be mediated by a heavenly being, and that Jesus was sent as such a mediator. As we noted in our study of the Farewell Discourses, which betray an

---

<sup>41</sup> Against Brown (1979: 139).

<sup>42</sup> Von Wahlde (1990: 114-115).

<sup>43</sup> Von Wahlde (1990: 119-122). He argues that their theological beliefs could have developed out of the other spirit sayings in the Gospel (pp.116-118). To account for the incongruity between the Paraclete passages and the pneumatology of the opponents' in 1 John, he proposes that the Farewell Discourses were composed by a later editor of the Gospel, and notes how the Paraclete passages conform with the perspective of 1 John (pp.120-122), though he does not believe the two were composed by the same person (pp.160-161). We would agree with his assumption that the Farewell Discourses came late in the Gospel's composition, but do not agree that the Discourses were necessarily written by someone other than the Evangelist.

interest in asserting Jesus' continued role as broker even after his departure (ie 14:6), there seems to have developed within the Johannine community a fear that Jesus could no longer broker access to God after he had left the Earth. The Evangelist addresses that concern by reasserting Jesus' status as the only broker to God, and constructing a brokerage network by which access to the glorified Jesus is mediated through a second broker, the Paraclete. Perhaps the same "fear" that served as an impetus for the Evangelist's brokerage-pneumatology, ie the fear that Jesus might no longer be effective as a broker to God, occasioned the 1 John opponents' emphasis on the mediation of the spirit. Unlike the Evangelist, they seem to contend that the spirit directly connects them to God, and they discount the significance of the earthly Jesus. That both the author of the Farewell Discourses, and the opponents in 1 John conceive of the spirit as a broker could point to a common dilemma within the Johannine community, a dilemma over brokerage. If the Gospel of John can be viewed as a reflection of the tradition of that community, then we know that the brokerage of Jesus was central to their Christology. So the dilemma behind both the Farewell Discourses and the opponent's theology is likely this: in both cases people were dealing with the question of whether they could continue to have access to God in Jesus' "absence." In the Discourses, the Evangelist introduces the Paraclete as a subordinate broker who provides a connection to Jesus so that he can continue to function as the ultimate broker to God for believers. But the 1 John opponents take a different route. They stress that the spirit had taken over a direct broker to God, and play down the continued importance of Jesus.

Yet one might ask how the opponents of 1 John could have reconciled their beliefs that the life of the earthly Jesus was not of consequence for salvation and their implied belief that the spirit brokered direct access to God, with the portrait of Jesus as broker to God in the Gospel? We submit that the opponents understood Jesus' brokerage to climax in his giving over of the spirit, who in their view took over as permanent broker between God and believers. Our study of the Gospel revealed how pivotal was the brokering of the spirit by Jesus, since spirit was said to be necessary for entrance into God's kingdom (3:5) and, thus, eternal life. The opponents may have understood spirit as the ultimate benefit which Jesus was sent to broker. Their apparent emphasis on the event of Jesus' baptism, the event of Jesus' meeting with John at the Jordan, when the spirit came upon him, may support this suggestion. They likely believed that Jesus "took on" the Christ at that moment, and perhaps even viewed the abiding presence of the spirit on Jesus, as well as his brokering of the spirit to the disciples after his resurrection, as the ultimate and only significance of his life as a man. This idea was

proposed by von Wahlde, who writes, “Once the Spirit has been given, it could be argued, the believer had no more essential need of Jesus since possession of the Spirit united the believer directly to God.”<sup>44</sup>

Whatever the precise nature of the 1 John opponents’ beliefs about Jesus as broker, they did apparently attribute more significance to the broker-spirit than they were willing to attribute to Jesus. In response to this, the author of 1 John does two things. Firstly, he plays down the role of the spirit while elaborating on Jesus’ significance. His conceptualization of the spirit differs from that of the Gospel and places great stress on the spirit’s legitimation of the community’s traditions about Jesus. The author of 1 John does not characterize the spirit as a broker, though he does teach that it facilitates a true confession of Jesus. Whether he understands this to be a result of the spirit brokering access to words from God remains unclear. His words in 4:1-6 seem to be aimed at countering his opponent’s false claims to the mediation of God’s spirit, therefore the passage may not be intended to *promote* the notion of the spirit as broker. Secondly, the author of 1 John starkly portrays Jesus as a broker, a *παράκλητος*. The spotlighting of Jesus’ direct brokerage relationship with God in 2:1-2, and the emphasis on the death of the earthly Jesus (“atoning sacrifice”) as integral to his efficacy as a broker before God, likely counters the opponents’ views that the spirit, not Jesus, mediates direct access to God, and that Jesus’ death was unimportant.

To return to our exegesis, we recall the emphasis on the spirit as “evidence” in 1 John 3:24-4:6 and 4:13, for in our next and last spirit passage, 5:6-8, the spirit is portrayed as “testifying,” in other words as giving evidence. Beginning at 5:5 we read:

Who is it that conquers the world but the one who believes that Jesus is the Son of God. This is the one who came by water and blood, Jesus Christ, not ἐν [in] the water only but ἐν [in] the water and ἐν [in] the blood. And the Spirit is the one that testifies, for the Spirit is the truth. There are three that testify: the Spirit and the water and the blood, and these three agree (5:5-8).

As indicated above, this passage reveals the opponents’ view that Jesus’ baptism was significant for salvation, but not his death.<sup>45</sup> We contend they probably believed the Christ came to be revealed or incarnated in Jesus at his baptism but did not believe the human life of Jesus of Nazareth, and thus his human death, were salvifically important. Therefore, the author of 1 John stresses that Jesus’ baptism and death were *both* crucial for salvation. Jesus “came in,” probably meaning “effected salvation

<sup>44</sup> Von Wahlde (1990: 118).

<sup>45</sup> Westcott (1966: 181), Bultmann (1973: 79-80), Malatesta (1978: 312), Marshall (1978: 231-232), Coetzee (1979: 48-49), Schunack (1982: 94), Brown (1982: 578), Whitacre (1982: 130-131), Smalley (1984: 278), Painter (1986: 65), Kysar (1986: 107-108), Schnackenburg (1992: 232-234), and Rensberger (1997: 132).



through," both water and blood (v.6b). Obviously, we take "water" and "blood" in 5:6 to indicate the events of baptism and crucifixion in the life of Jesus of Nazareth, as do the majority of scholars.<sup>46</sup> Von Wahlde, on the other hand, takes "came in water only" to mean that Jesus came to give the spirit, and does not associate "water" specifically with the event of Jesus' baptism.<sup>47</sup> He bases this judgment on the association of water with spirit in the Gospel of John, and in doing so goes too far in interpreting 1 John directly through a specific feature of the Gospel. The author of the Epistle nowhere hints that he uses water to symbolize spirit. Moreover, when the Evangelist uses water symbolically to designate spirit, he usually uses the term "living water".

Against Brown,<sup>48</sup> we do not believe the anarthrous construction of the phrase "water and blood" in v.6a demands that "water and blood" must refer to one composite event, in his view, the effusion of blood and water from Jesus' side in John 19:34 following his death. This interpretation allows him to maintain that anarthrous nouns form a unit, but has little else to commend it. The terms are in reverse order in the two passages, and the water and blood have a different point of reference in the two passages. In the Gospel, the blood establishes the reality of Jesus' physical death, and the water symbolizes the spirit which became available upon Jesus' death. In the Epistle, the water and the blood support the significance of the baptism *and* death of the incarnate Christ.<sup>49</sup> Brown acknowledges that the opponents believed the incarnation took place at the baptism of Jesus and that nothing further was necessary for salvation,<sup>50</sup> and he believes v.6b must refute this view.<sup>51</sup> Thus, he finds it inconceivable that the author would have emphasized baptism in v.6a. But what could the author of 1 John have meant when he wrote that Jesus "came by/in water"? Could he have acknowledged that Jesus' baptism was of consequence for salvation in a way which would not provide fodder for the opponents' false Christology? This question can be answered affirmatively.

V.6c emphasizes that the spirit testifies. To what does the spirit testify? Presumably to Jesus' having come both by/in water and by/in blood (v.6b). *How* does the spirit testify that Jesus effected salvation through both his baptism and his death? This question is not even answered obliquely in the text, which forces interpreters to propose theories about how the author envisioned the spirit

<sup>46</sup> Westcott (1966: 181), Bultmann (1973: 79-80), Malatesta (1978: 312), Marshall (1978: 231-232), Coetzee (1979: 48-49), Schunack (1982: 94), Whitacre (1982: 130-131), Smalley (1984: 278), Painter (1986: 65), Kysar (1986: 107-108), Schnackenburg (1992: 232-234), and Rensberger (1997: 132).

<sup>47</sup> Von Wahlde (1990: 117-118).

<sup>48</sup> Brown (1982: 573, 578).

<sup>49</sup> Hiebert (1990: 223).

<sup>50</sup> Brown (1982: 578).

<sup>51</sup> Brown (1982: 578).



testifying to the significance of these events. We propose that the spirit testifies through the very fact that the community possesses the spirit. The spirit's affirming presence among them, which is evidenced in their proper confession of Jesus Christ, serves as a witness that Jesus' baptism and death were necessary for salvation, since Jesus received spirit at his baptism and made spirit available to believers upon his death. The very fact that they have the spirit testifies that this really happened. In other words, if Jesus' baptism and death had *not* happened, they would not have the spirit, and furthermore, they would not have salvation!

According to the tradition reflected in all four Gospels, the spirit descended upon Jesus at his baptism (or in the Fourth Gospel, at his meeting with John since his baptism is not narrated there). The Fourth Evangelist expounds this tradition stressing that the spirit "remained on" Jesus (Jn 1:32). And in the Fourth Gospel the presence of the spirit with Jesus identified him as the one who would later baptize with the holy spirit and allowed John to testify to his identity as the Son of God (Jn 1:31-34). This tradition implies that Jesus received the spirit during his meeting with John and possessed the spirit throughout his ministry, and that the spirit's abiding presence on Jesus legitimated or identified him as the one sent from God. The Fourth Gospel also stresses that believers were to receive the spirit after Jesus' glorification (7:39), and that spirit opened up the possibility for believers to enter God's kingdom (3:5). Moreover, we argued above that according to John the spirit was made available to them upon Jesus' death. It was at the crucial event of Jesus' death and glorification that Jesus released the spirit, at which point in the narrative the Fourth Evangelist tells that water (symbolizing spirit, cf. 7:39), along with the expected blood, came out of Jesus' side (19:34).<sup>52</sup> So according to the tradition of the Fourth Gospel, a tradition which the author of 1 John seems to share<sup>53</sup> (even though he might not make reference to specific features of the Fourth Gospel in his Epistle), the events of Jesus' baptism and death when Jesus received and released the spirit were pivotal for allowing future believers to have the spirit.

We have asserted that it is unsound to interpret 1 John through the lenses of the Fourth Gospel, explaining features of the Epistle through specific features from the Gospel. That is not what we wish to do here. Rather, what we are suggesting is that certain general beliefs explicated in the Gospel may have been an established part of the tradition shared by the authors of the two writings. The belief that Jesus received the spirit at his baptism and released the spirit upon his death may have been a

---

<sup>52</sup> See our discussion of these passages in Chapter Three, §1.1..

<sup>53</sup> See our Introduction, §3.3..

part of that established tradition familiar to both authors. And if the author of the Epistle and his audience are aware of these general Johannine traditions associating spirit with Jesus' baptism *and* death, then it could be that by drawing the spirit into the discussion of the significance of both these events the author can point to the salvific importance of the baptism in a way which inextricably links its significance with the *death* of Jesus. This would allow him to preserve the importance of the baptism without proffering support for the opponent's idea that the Christ became revealed and incarnated in Jesus upon his baptism. According to the author of 1 John, the baptism is not significant for this reason. It is significant because the baptism and death together functioned to make spirit available to believers. The two events worked together to make this possible.

The author of 1 John uses the spirit as evidence of the significance of Jesus' death for salvation. Jesus' death *must* be significant, for it was the point at which spirit became available to believers. The very fact that believers have the spirit testifies to the importance of Jesus' cross where it was poured out. And the witness of God's spirit is the "true" and trustworthy witness (5:6). This is not to say the author of 1 John sees the cross as important solely because it allowed the spirit to be made available. To this the opponents might fully agree. Obviously, the atoning work of the cross holds prominence in 1 John (see 1:7; 2:1-2; 4:10). But he has already asserted this elsewhere. In 5:6 he intends to show that Jesus' death bears significance not only because it atoned for sins, but because it allowed the spirit to be imparted to Jesus' followers. And in 1 John the spirit plays a crucial role in salvation. Those who are under the inspiration of the spirit of God "confess Jesus"; those who are not, who are instead inspired by the spirit of the antichrist, will not confess Jesus and will not be saved. It was thus salvifically important that potential believers receive God's spirit. And both Jesus' baptism and death played a key role in making it available to them. Therefore, the community's possession of the spirit testifies that Jesus effected salvation through both his baptism and his death.

It could be suggested that in 5:6 the author means the spirit testifies to the significance of both "the water and the blood" through some sort of "inward" enlightening. Perhaps the spirit inwardly "inspires" believers, enabling them to understand the meaning of Jesus' baptism and death and thus their eternal importance, just as the spirit is portrayed as facilitating proper confession in 4:2-3, this presumably not through an outwardly perceptible process. The problem with this interpretation is that the spirit's functions in the two passages are not analogous. In 4:2-3 the spirit does not *testify* to Jesus' identity, thereby inspiring a proper confession. In 4:2-3 the spirit inspires true confession, and

does not testify to historical events in Jesus' life. But in 5:6-8, the emphasis centers on the historical baptism and death of Jesus and their role in salvation, and the spirit there functions as a witness to those concrete events. Yet could it not be argued that the spirit *inwardly testifies* to believers of Jesus' having "come by" the historical events of his baptism and death? Not really, since a testimony by nature must be publicly perceptible, not inward. The community's possession of the spirit serves as a discernible testimony to them that Jesus' death, as well as his baptism, was salvifically efficacious. An inward, subjective witness within each believer would hardly constitute an *effective* witness to the significance of "the water and the blood." Some might counter, however, that in 5:10a it is said believers have the testimony of God *in themselves*. But this cannot mean that God's testimony is confined to the hearts of believers, for if it was how could the author accuse the opponents of making God "a liar by not believing in [God's testimony]" (5:10b)? According to 5:10 it would seem that God's testimony is both in believers as well as being an external witness, since non-believers can apparently perceive and reject it. It is externally perceivable through the confession of faith in Jesus Christ which the spirit inspires. In what way does the testimony of God reside in believers? Schnackenburg interprets 5:10a to mean that believers accept and receive God's testimony, thus it is "in" them. When they accept the divine testimony it becomes interiorized in them. He draws parallels with passages in Revelation which tell of believers "holding" the testimony of Jesus (cf. Rev 12:17; 19:10). All in all, one cannot sustain the argument that the author means the spirit's witness in 5:6 to be that of a subjective, inward "enlightening."

Our interpretation of 5:6c, that the community's possession of the spirit serves as a witness to Jesus' death because the spirit could not have been given without it, raises the question of why the linking together of the bestowal of spirit with Jesus' death is not made more explicit in 1 John. The expiatory function of the cross clearly comes to the fore in the letter, while the function of the cross in allowing spirit to be made available to believers receives only latent mention. We propose this is because the opponents overstressed the importance of Jesus' brokering the spirit, and saw no purpose for his death other than departure. For this reason the author of 1 John repeatedly asserts the necessity of Jesus' death for procuring forgiveness of sins, and thus allowing eternal life for believers. Only after he has soundly established this argument does he allude to a further function of the cross: its importance in making the spirit available. This latter point may have been intended as a mockery of the opponents. They may have claimed to have the spirit, yet they disparage Jesus' death, saying Jesus only brought

salvation “by water.” The author of 1 John in turn points out the shortsightedness of their beliefs by reminding his readers that no could have the spirit were it not for Jesus’ coming “by blood,” were it not for his death.

Just as the author of 1 John says the spirit testifies to Jesus’ having come by both water and blood, so he says in vv.7-8 that the water and the blood also testify. And the testimony of the spirit, the water, and the blood all agree. We submit that “water” and “blood” have the same meaning in this verse as in v.6. They signify Jesus’ baptism and death. However, some scholars think the meaning in this verse must be different. How could the water and blood (ie Jesus’ baptism and death) be said to testify to the salvific importance of Jesus’ baptism and death? This is a perplexing question. Yet it is not made easier by a complicated answer, ie that “water” and “blood” change meaning in the latter verses. Those who accept this view commonly assert that “water” and “blood” refer to the sacraments of baptism and eucharist in vv.7-8.<sup>54</sup> But nowhere else in the New Testament does “blood” alone refer to the eucharist.<sup>55</sup> Furthermore, the author of 1 John is concerned in 5:6-8 with the significance of the historical events of Jesus’ baptism and death (“the one who *came by*,” 5:6 [emphasis added to stress *past tense*]) not with the continuing manifestations of the Christ in the sacraments.<sup>56</sup> “Water” and “blood” likely bear the same connotation in vv.7-8 as they did in v.6,<sup>57</sup> they signify historical events in the life of Jesus the Nazarene. We suggest that these events “testify” to the salvific efficaciousness of Jesus’ baptism and death through the retelling of the stories of those events.<sup>58</sup> Every time one hears the proclamation of the stories of Jesus’ baptism and death, and of how the spirit was made available through them, the significance of those events for salvation receives confirmation. And the fact that the community possesses the spirit corroborates the witness of those stories. “The spirit and the water and blood” are all in agreement; the spirit, along with the retelling of the historic events of Jesus’ baptism and death, all work together to confirm and reaffirm that the human life of Jesus, and his very human death, were of great consequence for salvation.

---

<sup>54</sup> For example, Malatesta (1978: 312), Brown (1982: 584) (though he evinces some reservation), as well as Bultmann (1973: 70) and Schunack (1982: 95-96) who attribute vv.7-9 to the “ecclesiastical redactor.”

<sup>55</sup> Smalley (1984: 277, 282), Rensberger (1997: 132).

<sup>56</sup> Smalley (1984: 277).

<sup>57</sup> Marshall (1978: 237), Smalley (1984: 282), Grayston (1984: 139), Kysar (1986: 109).

<sup>58</sup> Along these lines, Marshall (1978: 237-238) draws parallels between the witness of the past events of the baptism and cross and the witness of the Old Testament scriptures (the retelling of past events).

## 2. Summary

By this point we have examined all of the spirit sayings in 1 John. Key features of the pneumatology of 1 John are the role of the spirit as evidence of an “abiding” relationship with God, as well as the role of the spirit in inspiring the true Christological confession of believers. It has been asserted that the secessionists behind the Gospel seem to believe, among other things, that they prophesy through the brokerage of God’s spirit who provides them with direct access to God. They discount the salvific importance of Jesus’ death and likely view his brokering of the spirit as the pinnacle of his work. After Jesus had given the spirit, the spirit took over as broker to God, in their view. Our study has also demonstrated that such a view likely developed out of the emphasis on brokerage in Johannine tradition, as seen in the Gospel. The secessionists adopted this emphasis on brokerage while making the spirit the ultimate broker instead of Jesus.

Because of the opponents’ emphasis on the spirit’s brokerage, the author of 1 John plays down the spirit. He does not characterize the spirit as a broker, but rather calls Jesus a “παράκλητος,” or broker, depicting him as direct mediator between believers and God (2:1-2). Still, the author of the Epistle believes that the spirit of God inspires proper confession of Jesus and is important for salvation. He cannot, then, dismiss a discussion of spirit altogether. He too wishes to claim that his group has spirit. Consequently, he makes spirit possession and proper confession of Jesus inextricably linked: only those who confess that Jesus is the Son of God have the spirit (4:13-15, cf. 3:24); only those who have the spirit of God confess that Jesus Christ has come in the flesh (4:2). The two are inseparable. Apparently the polemical context of 1 John was highly influential in shaping its pneumatology.

Our study of 1 John has illuminated the nature of the secessionist problem behind that epistle. Though scholars like von Wahlde<sup>59</sup> and Grayston<sup>60</sup> have already argued that the secessionists were claiming to have the direct mediation of the spirit, our understanding of the centrality of brokerage in the Gospel and our use of the brokerage model has allowed us to go farther than they in understanding how the crisis over brokerage developed in the first place. Furthermore, our conclusion that the word “παράκλητος” can mean “broker” has allowed us to recognize the significance of the author calling Jesus a Paraclete in 1 John. He calls Jesus a Paraclete in order to reaffirm Jesus’ role as ultimate broker to God.

---

<sup>59</sup> Von Wahlde (1990).

<sup>60</sup> Grayston (1984: 19).

Our suggestion that the opponents of the community claimed to have the the direct brokerage of the spirit explains why the Evangelist associates “anointing” with the tradition of the community while dissociating it from spirit, despite the fact that it typically refers to spirit. The Evangelist deliberately avoided allusions to spirit which might have been misconstrued as support for the secessionists’ position. Yet our study shows that the opponents were not necessarily “ecstatics.” Evidence that the opponents were ecstatics is hard to find in the Epistle. Their pneumatological beliefs are rather interrelated with their conception of brokerage. The issue of contention between the author and the opponents is not one of spiritual ecstasy, but is the issue of whether Jesus is necessary for access to God. According to the tradition of the author, the answer is clearly “yes.” The secessionists, on the other hand, believe the spirit can provide them with direct access to God, making Jesus superfluous.

### 3. A Comparison of the Pneumatology of John and 1 John

We are now in a position to analyze the pneumatology of 1 John in relation to that of John. According to Rudolf Schnackenburg, “The doctrine of the Spirit in 1 John is to a great extent in agreement with the Gospel of John.”<sup>61</sup> Yet while the pneumatology of 1 John does not fundamentally *contradict* that of John, Schnackenburg’s statement sounds overly optimistic. 1 John’s perspective on the spirit varies substantially from that of John. The *emphases* of the pneumatology of the two writings are almost completely different. In the Gospel’s spirit sayings outside of the Farewell Discourses, “spirit” is indicative of the realm of God. And “spiritual birth” allows human beings to be able to pass from the earthly realm into the heavenly and receive eternal life. This spiritual birth only becomes possible through Jesus’ brokering of the spirit to believers. Within the Farewell Discourses, the spirit comes to bear the role of a subordinate broker, allowing believers to have access to Jesus after he has returned to the Father. As a subordinate broker, the Spirit-Paraclete perpetuates Jesus’ presence, and thus his work of teaching, witnessing, and proving the world wrong.

Like John, 1 John portrays the spirit as a divine gift. But in the latter, the spirit does not receive mention until halfway through the letter. In 1 John, the spirit functions to enable a proper

<sup>61</sup> Schnackenburg (1992: 195).



confession of Jesus and serves as evidence of the community's abiding relationship with God. Further, there the spirit fills the role of "witness" in that the community's possession of God's spirit evidences that both Jesus' baptism and death, the events when Jesus received and released the spirit, were necessary for salvation. The characterization of the spirit as a mediator/broker in John's Farewell Discourses is absent in 1 John. The spirit does not provide believers with access to the benefits of a patron, either God or Jesus. On the other hand, in one verse Jesus bears the characterization as a broker, though the contours of that role are somewhat different from those in the Gospel. In 1 John 2:1 Jesus is a *παράκλητος* who mediates between believers and God. The sense of that passage seems to be that Jesus' atoning sacrifice expiated believers' sins before God the patron, allowing him to be able to go to God on behalf of his followers and to mediate to them God's forgiveness of their sins.

If we accept, as we do, that 1 John and the Gospel of John share a close affinity, how do we account for the very different emphases in their pneumatology? Brown suggests the author of 1 John plays down the role of the spirit, much more than the Gospel of John, because some of his opponents claimed to be guided by the spirit in their teaching.<sup>62</sup> In agreement with von Wahlde, we have argued that the opponents believed the spirit mediated direct access to God, and that they therefore did not need Jesus. But though the author of 1 John wished to refute this, at the same time he wanted to make it clear that the spirit was important and that his community was the one who had it. In other words, both groups valued the spirit and both contended that they had it. It is likely then that "spirit" was an especially sticky issue for the author of 1 John, and may have compelled him to shirk any unnecessary mentions of it.<sup>63</sup> But the contention about spirit between the groups also likely shaped what he did write on the subject. Perhaps this is why 1 John's perspective on spirit appears quite different from that of John, because it was fashioned to undergird his polemic against secessionists who were not a significant factor for the author of John.<sup>64</sup> The author of 1 John draws in the spirit at points specifically to counter false claims and beliefs of his opponents. For example, he portrays the spirit as evidence that his community, not the opponents, is actually the one sharing an abiding relationship with God (3:24; 4:13). Further he teaches that the spirit of God inspired the community's confession

---

<sup>62</sup> Brown (1979: 140).

<sup>63</sup> Brown (1979: 140).

<sup>64</sup> It is, of course, possible that the problems we see behind 1 John were beginning during some stage of the Gospel's composition. However, since this is not at all clear, we prescind from speculations about it. It could be argued that the Paraclete passages in John 15 and 16, which link the Spirit's mediation directly to Jesus and make it dependent upon him, address a conflict similar to that behind the Epistle. Yet the main opponents behind these Discourses are apparently Israelites connected with the synagogue (15:25; 16:2). We acknowledge that there *may* have been more going on behind these chapters than the synagogue conflict. Still, we find that the primary interlocutors of the community are different there than in the Epistles.

that Jesus Christ has come in the flesh (4:2-3) (which amounts to true belief). Finally, the author of 1 John teaches that the spirit testifies to the salvific importance of both Jesus' baptism and death (5:6-8), a key point of dissonance between his group and their opponents. The "point" that the author of 1 John was striving to make in his references to the spirit was a polemical point, and was determined by the disagreements between his community and the secessionists. And the point he was trying to make is different from the point the Evangelist was trying to make in his use of spirit since the Evangelist was apparently facing different challenges. Therefore, the pneumatologies of the two writings are distinct. Nonetheless, both authors employ spirit as "legitimation" to some degree. In the Gospel, the spirit legitimates Jesus, and secondarily the believers. In the Epistle, the spirit serves as evidence of right relationship with God, and thus serves to legitimate those who have it.

In summary, we note that our comparison of the portrayals of the spirit in John and 1 John does not clearly indicate a sequence of the composition of either writing in relation to the other. However, the 1 John notion of Jesus as a *παράκλητος* (2:1) was likely borrowed from the Gospel of John, rather than the other way around. Brokerage Christology is ubiquitous and elaborate within the Gospel of John and was likely developed by the Fourth Evangelist; it proves integral to his theology. In 1 John the characterization of Jesus as a *παράκλητος* receives only a passing mention and the brokerage view of soteriology seems subordinate to the author's view of salvation as "expiation" (cf. 1:7; 2:1-2; 4:10; 3:8). We have argued that the 1 John opponents' claim to have direct access to God through the brokerage of the spirit (4:1-3), coupled with their discounting of Jesus, compelled the author of 1 John to characterize Jesus as the direct mediator (*παράκλητος*) to God because of his atoning death. The probable adoption of the term *παράκλητος* from the Gospel of John persuades us to conclude that 1 John was written later than the Gospel.<sup>65</sup> Moreover, the probability that the opponents were motivated by the brokerage-Christology in the Gospel of John to develop their brokerage-pneumatology, lends further support for this conclusion.

---

<sup>65</sup> Against Grayston (1984) who argues that the Epistle came before the Gospel. His position is based in part on the assumption that the theology of the Epistle is earlier and more traditional than that of the Gospel, and the view that the Gospel seems to be the working out of ideas expressed in the Epistle (p. 7-14). This second point seems to follow on Grayston's direct interpretation of the Gospel and Epistle in relation to one another (see p.14), which is methodologically unsound. It could be that the Epistle may be more primitive and undeveloped in comparison with the Gospel because its author was resorting to "traditional" views in order to counter the "innovations" of the 1 John opponents. The Epistle may reflect a move toward "fundamentalism" in response to heresies which are a perversion of the Gospel's teachings.

## Conclusion

Early in our study we asserted the importance of attempting to interpret written texts with a view to their own socio-cultural contexts. We also stressed the utility of employing suitable analogical models for assistance in understanding socio-cultural phenomena unfamiliar to the interpreter, and in this study of Johannine pneumatology we have employed the social-scientific model of patron-client relations, or brokerage, as a heuristic tool for understanding the relationship between God, Jesus, the spirit, and believers in John and 1 John. Through our exegesis of the Johannine spirit passages our choice of model has proved warranted, as it seems clear that the Fourth Evangelist considered brokerage an important theological concept. The data from our study has, in many ways, been shown to “fit” the model in use. Yet we have also noted where data from John and 1 John does not fit the model, for instance in the characterization of the spirit in the Gospel passages outside of the Farewell Discourses. In these passages, the spirit is not conceptualized as a broker. However, though the spirit is not portrayed as a broker there, we have seen how vital Jesus’ possession of the spirit is to *his* ability to broker access to God the Father, and thus to his role as heavenly broker, and this is accentuated in those passages. So even outside of the Farewell Discourses, our model has been illuminating. And in 1 John though it seems the author does not care to portray the spirit as a broker, he is in conflict with those who do and he does choose to allude to Jesus’ brokerage role (1 Jn 2:1). In this sense the model proves helpful. After exegeting the spirit passages in John and 1 John we are now in a position to reflect back on some of the questions we proposed in Chapter One of our study and to explore the answers which have emerged in our interpretation of those writings. After doing so we will also highlight the significance of our findings for Johannine studies.

The question we wish to recall here is the “*why*” question posed in Chapter One. *Why* was spirit important to the Fourth Evangelist? Another way of posing the same question might be “how did spirit function for the Evangelist and his community?”. Why was it beneficial for them to think of the spirit in the unique ways they did?

Essentially, the spirit recurrently signifies and identifies that which is of the realm of God in John. This aspect of John’s pneumatology predominates outside of the Farewell Discourses. The spirit, then, functions to associate various characters in the Gospel with God and thus serves a legitimating

function. Most importantly, the spirit identifies Jesus as the “Son of God” and as the representative of the spirit-realm who will bestow spirit on his followers that they might become members of God’s family. The spirit “abides” on Jesus, Jesus has the spirit “without measure,” and Jesus alone provides access to the spiritual birth which brings eternal life for those who are faithful to God. The unparalleled Johannine emphasis on Jesus’ unique ability to mediate eternal life, or salvation, is likely motivated by the contentious relations between the Johannine community and the Ἰουδαῖοι. The spirit proves pivotal in the Evangelist’s portrayal of the gospel *because* the abiding of the spirit was, in his view, what set Jesus apart from all other broker figures and what legitimated Jesus as God’s unique Son who was sent down from the realm of God to mediate access to the patronage of God. As we have seen, the spirit passages of John outside of the Farewell Discourses often coincide with the Johannine broker contests where Jesus is held up to some of the most revered brokers of the Israelite religion, most notably Moses. The spirit functions in these sections to mark Jesus as less “earthly” than these brokers. Whereas they are “from below,” Jesus is a man sent “from above,” and he bears the abiding presence of the spirit to prove it. What could better qualify him to bridge the divide between humanity and the eternal God than the fact that he has been sent from the realm of God? By sending Jesus, God graciously extends patronage to all who will believe in his Son, and reveals the inefficaciousness of earthly attempts to broker access to the God realm.

Not only does the spirit legitimate Jesus himself in John, but it is also used by the Fourth Evangelist to legitimate himself and his community. As faithful followers of Jesus, they view themselves as those who have been “born of spirit” and who “worship in spirit and truth.” They are children of God. The teaching of the Evangelist on the spirit would have served to embolden his community in their resistance to the pressures of the synagogue. They were taught to stay loyal to Jesus despite potential persecution because only Jesus could provide them with a way to the Father. Despite the estrangement from the Israelite religion which would result from their decision to confess Jesus, the Evangelist encouraged his community to endure in their faith because, despite its claims, the Israelite religion and its broker-figures were unable to mediate access to God. According to the Evangelist, these were “earthly,” and he and his followers were “of the spirit.”

Besides bearing the legitimating function of aligning certain persons in the Gospel with the realm of God, *spirit opens up the possibility of receiving eternal life* (3:5). Spirit is a benefit which Jesus brokers to believers from God. Once they have received it and experienced new birth in spirit,

have become members of God's family, then believers are able to receive the full range of benefits of God's patronage. Most importantly, they receive eternal life. *Jesus bore spirit not only as a sign, but in order that he might be able to confer the benefit of spirit to those who accepted him as God's broker sent from above.*

We have pondered why the Evangelist may have come to portray the spirit itself as a broker, or παράκλητος, at a later stage in the Gospel's composition, when the Farewell Discourses were written. We submit that at this point in the community's history, some within the community had come to doubt whether Jesus was able to broker access to God when he was no longer on the Earth. Perhaps these followers were tempted to separate from the community and return to the synagogue in lieu of forfeiting the brokerage they believed they could have through it. In response to such a concern, the Evangelist developed a conception of the spirit as a broker providing access to the glorified Jesus who had returned to the realm of the Father. Because the Paraclete mediated access to Jesus, it was as if Jesus remained perpetually present with them despite his departure. The Evangelist fashions this characterization of the Paraclete as a broker figure in order to address concerns about Jesus' continued efficacy as a broker and to inculcate continuing loyalty to Jesus despite the threat of synagogue expulsion or even martyrdom. *The Paraclete makes it possible for Jesus to continue to function as broker to God for the disciples.* Because of the Paraclete, Jesus can continue to be a paraclete himself, the ultimate broker between God and his clients.

The "oneness" of Jesus and the Paraclete is not to be understood as identity. The Paraclete is not the spirit of Jesus or the presence of Jesus. Just as the "oneness" of Jesus and the Father in John points to Jesus' role as broker to God, so that from the perspective of believers it *as if* they are relating to God when they relate to Jesus, so when they experience the Paraclete it is *as if* they are experiencing Jesus. The Paraclete continues Jesus' presence and work not as Jesus' alter ego, but as a broker. The Spirit-Paraclete is a benefit which Jesus will broker to believers. But as with the other benefits Jesus provides, the source of the Paraclete is with God. The Father sends the Paraclete via Jesus in order to perpetuate the availability of access to his patronage.

The Evangelist's dualistic perspective likely accounts for the designation "Spirit of Truth" for the Spirit-Paraclete. As the *true* Spirit, the Paraclete stands apart from the false spirits of the world. The title Spirit of Truth constitutes a competitive claim against the opponents of the Johannine Christians. Moreover, the Paraclete is the Spirit of Truth because he leads disciples on the way to



truth (16:13), that is, the way to Jesus “the Truth” (14:6).

One of the advantages of our thesis over other explanations of Johannine pneumatology, is that it does not blur the distinction between Jesus and spirit, as do the hypotheses of Porsch and Burge. Furthermore, it does not test one’s credulity by asserting that John’s pneumatology originated in a specific figure(s) from the history of religions, as do the works of Mowinckel, Bornkamm, Bultmann, Betz, Johnston, and Franck. Nonetheless, we have appreciated the integral link between Jesus and spirit and given due attention to the importance of pneumatology to Christology in John. And we have built on the work of those who find the Paraclete to be a mediator figure. By delineating the mediatorial relationship of Jesus and the Spirit-Paraclete as it would have been understood within the culture of the Johannine Christians, utilizing the model of brokerage, we have attempted to clarify issues which other scholars have not addressed satisfactorily, namely the relationship between Jesus and the spirit and the nature of their mediation.

Our thesis does not require that the Fourth Gospel predominantly reflect *either* hellenistic *or* hebraic origins. The Fourth Gospel certainly evinces both Israelite and hellenistic influences. But brokerage does not demand that the Evangelist adopted his concept of mediation either from a hellenistic context or a hebraic context. We have argued that brokerage was widespread in Mediterranean culture and is evidenced both in Palestine during the Early Roman Empire, as well as in the surrounding Mediterranean world. Therefore, the model has explanatory power regardless of whether the Evangelist was more hebraic or more hellenistic, or whether the majority of the Gospel was written for an audience in or outside of Palestine. *The model of brokerage is not a “hellenistic” model.* In fact, we submit that brokerage would be illuminating for the analysis of Israelite mediator figures such as Wisdom, the logos, the prophets, and angels, who are all brokers between God and his clients. We hope such work will be forthcoming.

Our study of Johannine pneumatology, and specifically our thesis that brokerage markedly influenced the Evangelist’s portrayal of both Jesus and the spirit, has important implications for the field of Johannine studies. It bears importance for John’s Christology. Brokerage clarifies much about the figure of Jesus and his work among humanity. It illuminates the Gospel’s soteriology in fruitful ways, for it helps one to understand why Jesus was sent from above only to return to the Father from whence he came. He was not sent primarily to be a revealer who incidentally had no revelation, contra Bultmann or Porsch. He was not sent primarily to inaugurate a pneumatic religious experience, as Burge



suggests. Nor was he sent as an authoritative messenger of God who primarily offered God's words, as the proponents of "agency" Christology imply.<sup>1</sup> In the Gospel of John we find that Jesus was sent as the representative of the patron God uniquely and solely qualified to serve as a bridge between the disparate spheres of God and humanity. Jesus' main purpose in doing the works of his Father on earth and in speaking God's words "from above" was to make known what God was doing in sending him, and what God was doing was making the benefits of divine patronage available as never before. In Jesus God was graciously extending an invitation of inclusion in the spiritual family of God to all who would accept his Son Jesus and live lives faithful to God.

Noting Jesus' role as God's broker sent from above also bears implications for how one understands the depiction of Jesus as both equal to God and subordinate. As broker to God Jesus functions as God's client, though he is also God's son. As a client and son, Jesus is under the authority of God and required to give God both his obedience and his honor. Yet from the perspective of humanity, Jesus makes available all the benefits of divine patronage. Jesus makes available birth into the spiritual family of God. Those in the Mediterranean world in the first century did not believe direct access to the realm of God was possible. Access to such higher orders needed to be mediated, according to their dualistic world view. Therefore, persons in that time and place believed they experienced God's good gifts only through various forms of mediation. From their perspective, Jesus claimed to represent God, to be the "way" to know God the Father, to see and hear him, and to receive gifts from him. Thus to believers Jesus is God, according to the Fourth Evangelist. Or at least Jesus is all people can know of God. From the perspective of believers, to know Jesus is to know God, making Jesus and God essentially equal. Yet Jesus' unique ability to broker direct access to God results from his role as the only begotten Son of God who came down from above. And as God's Son, Jesus is naturally subordinate to his father. Viewing the relationship between God and Jesus according to the known characteristics of patron-client, or patron-broker, relationships thus allows us to reconcile two seemingly contradictory elements of their relationship: equality and subordination.

Similarly, noting the role of brokerage in the theology of the Fourth Evangelist allows us to make sense of the relationship between Jesus and the Paraclete. Like God and Jesus, Jesus and the Paraclete, at points in the Farewell Discourses, *seem* to collapse into one character. This to the point that one interpreter has called the Paraclete Jesus' "alter ego."<sup>2</sup> The striking unity shared between

---

<sup>1</sup> For example, Bühner (1977), Borgen (1987), Harvey (1987), Evans (1993), and Thompson (1997: 223-231).

<sup>2</sup> Windisch (1927: 129).

Jesus and the Paraclete has occasioned many fuzzy interpretations, some which stress the unity of Jesus and the Paraclete at the expense of the references to the Paraclete's subordination and dependence on Jesus. For example, Burge claims that John has identified the believer's experience of the spirit with his experience of Jesus, but Burge does not satisfactorily explain how this works. He also states that to have the spirit means the same thing as to have Jesus dwelling within.<sup>3</sup> Burge notes that Jesus and the Spirit are not indistinguishable for the Evangelist,<sup>4</sup> yet his interpretations suggest an identification of the two figures. Brown contends that the Paraclete is depicted as the presence of Jesus among the disciples in answer to the challenge of the delayed parousia.<sup>5</sup> And Porsch clouds the picture with his theory that the spirit comes through Jesus' word.<sup>6</sup> Yet the unity shared by Jesus and the Paraclete is a functional unity. Just as Jesus provides access to God, so that from the perspective of humanity Jesus and the Father are one, so the Paraclete provides access to the glorified Jesus so that from the perspective of the believers, Jesus and the Paraclete are one. The Paraclete functions to provide access to Jesus after Jesus has returned to the Father so that it is as if Jesus continues to be with the disciples, continues his work among them: work which includes witnessing alongside them, teaching them, providing them with a way to the Father. It is the sending of the Paraclete, who bridges the divide between believers and the glorified Jesus, which makes it possible for Jesus to continue his work of brokering access to God, or bridging the earthly realm and the heavenly realm. The Paraclete makes it possible for Jesus to continue to be a paraclete. The Paraclete is said to testify, but it is on Jesus' behalf that he testifies (Jn 15:26). The Paraclete is said to lead the disciples into truth, but it is Jesus' words he speaks (Jn 16:13). The tasks of the Paraclete are those of Jesus, for the Paraclete is sent to Jesus' disciples precisely in order that Jesus can continue to work among them through the brokerage of the Paraclete.

Brokerage proffers further clarification of the Paraclete's function in that the seemingly divergent tasks of the Paraclete are subsumed in his role as broker. The Paraclete's tasks of teaching, testifying, and "proving wrong," are not separate, unrelated tasks of a multi-faceted spirit-figure. There is no bifurcation of the Paraclete's role, with revelatory functions on one side and witnessing functions on the other. Rather, all the tasks attributed to the Paraclete-Spirit of Truth in the Johannine Farewell Discourses fall within his role as broker to Jesus.

Furthermore, brokerage assists one in deciphering the role of key characters in the Fourth

---

<sup>3</sup> Burge (1987: 148).

<sup>4</sup> Burge (1987: 146).

<sup>5</sup> Brown (1966/70, v.2: 1142-1143).

<sup>6</sup> Porsch (1974: 200-201).

Gospel. For example, we have explored the significance of the characters John and Nicodemus. Brokerage bears implications for how both are understood. The role of John is strictly delimited by the Evangelist to that of a broker to Jesus. John receives special status as the one who makes manifest Jesus' identity as the Son of God, yet the Evangelist allows no association of John with a heavenly broker figure like the Messiah, or the Prophet, or Elijah. Such an association would place him in competition with Jesus. Nicodemus, on the other hand, fares far worse than John the Baptist. As a Pharisee and a ruler of the *Ἰουδαῖοι*, he represents human means of brokerage. When he comes to Jesus challenging his significance as a broker, Jesus turns the tables on him. Jesus both shames Nicodemus for not comprehending even basic spiritual truths and seizes the initiative, turning Nicodemus' positive challenge into an opportunity to explain his importance as the divine broker and the only means of access to God.

Future studies of John could build on the implications of our study for the interpretation of Johannine discipleship. The Evangelist stresses the crucial role of loyalty and love in the relationship between Jesus and his followers. We believe that an interpretation of Jesus' followers as "clients" and fictive kin in John could prove fruitful for explaining why the ethics of John are dominated by this emphasis on faithfulness. The Fourth Evangelist seems to be far more interested in inculcating loyalty in Jesus' followers than in teaching them how to live righteously in the world and avoid moral impurity. This is likely because his primary concern was that Jesus' followers, specifically those in his own community, recognize Jesus' unique role as broker to God and not forfeit that brokerage for what he would deem the "pseudo-brokerage" of the Israelite religion.

Though the implications of our study of brokerage for the field of Johannine studies perhaps range wider than the points we have raised, we lastly wish to note how the emphasis on brokerage in John helps to explain the situation which arose within the 1 John community. The tensions evident in 1 John make sense as stemming from a rivalry over mediators. Because the opponents of the author have asserted the brokerage role of the spirit at the expense of Jesus' significance, the author himself wishes to draw attention back to Jesus and to reemphasize Jesus' importance for salvation. Evidently the community behind 1 John were being faced with a choice of brokers: either the spirit or Jesus. The opponents apparently taught that the spirit provided them with direct access to God. The author in response holds firmly to the traditions about Jesus which had been handed down to him and his community, and he strives to teach his followers of the indispensability of Jesus' life and death. Yet

the author cannot disparage the spirit either. Therefore, he fashions a theology according to which the significance of the spirit lies in its work of affirming the Jesus traditions.

We wish to end our study by expressing our concern about the way that the caustic tone of John and 1 John has been adopted by some Christians through the centuries in engaging those whom they oppose. It is our hope that understanding the socio-cultural contexts of these writings will allow readers to appreciate their value as texts without embracing their tone. In our work we have asserted that the impetus for the vehement Johannine stress on the exclusivity of Jesus' brokerage can be found in the polemical fronts on which the Fourth Evangelist and the author of 1 John were fighting. Both authors found themselves struggling against forces which directly threatened the unity and survival of their communities, and in response to those forces, tightened up the lines of demarcation identifying their own groups as God's true children or clients. Befitting the circumstances which motivated their writings, the tenor of their polemic is often cutting and unrelenting. This makes it all the more crucial that readers who esteem these writings and find in them enduring truths fully acknowledge the contextualized nature of their words. The writers of John and 1 John were reacting to formidable problems in their specific communities. They presumably were not seeking to set a permanent precedent for how Jesus' followers would relate to those in disagreement with them.

## Bibliography

- Abrams, M. H. (1953) *The Mirror and the Lamp* (Oxford: University Press).
- Adkins, W. H. (1963) "'Friendship' and 'Self-Sufficiency' in Homer and Aristotle", *Classical Quarterly* 13: 30-45.
- Agnew, Francis H. (1986) "The Origin of the NT Apostle-Concept: A Review of Research", *JBL* 105: 75-96.
- Alcock, Susan (1993) *Graecia Capta: The Landscapes of Roman Greece* (Cambridge: University Press).
- Anderson, Charles M. (1989) *Sending Formulae in John's Gospel: A Linguistic Analysis in the Light of their Background*. PhD dissertation, The Southern Baptist Theological Seminary.
- Anderson, Paul N. (1996) *The Christology of the Fourth Gospel* (Tübingen: J. C. B. Mohr [Paul Siebeck]).
- Applebaum, S. (1974) "Economic Life in Palestine", in *The Jewish People in the First Century*, v.1, ed. S. Safrai and M. Stern (Assen: Van Gorcum) 631-700.
- (1977) "Judea as a Roman Province: The Countryside as a political and economic factor", in *Aufstieg und Niedergang der römischen Welt*, II.8, ed. H. Temporini and W. Haase (Berlin: Walter de Gruyter) 355-396.
- Appold, Mark L. (1976) *The Oneness Motif in the Fourth Gospel: Motif Analysis and Exegetical Probe into the Theology of John* (Tübingen: J. C. B. Mohr [Paul Siebeck]).
- Ashton, John (1985) "The identity and function of the Ioudaioi in the Fourth Gospel", *Nov Test* 27: 40-75.
- (1991) *Understanding the Fourth Gospel* (Oxford: Clarendon Press).
- Ayers, James (1986) "What Did Jesus Say? the 'criterion of dissimilarity' and John 6:53", *The Reformed Journal* 36: 16-18.
- Ball, David Mark (1996) *'I Am' in John's Gospel: Literary function, background and theological implications* (JSNT Supp. Series 124; Sheffield: Sheffield University Press).
- Bammel, Ernst (1973) "Jesus und der Paraklet in Johannes 16", in *Christ and the Spirit: Studies in Honour of C. F. D. Moule*, ed. B. Lindars and S. S. Smalley (London: SCM) 199-217.
- Barbour, Ian G. (1974) *Myths, Models and Paradigms: The Nature of Scientific and Religious Language* (London: SCM Press).
- Barrett, C. K. (1950) "The Holy Spirit in the Fourth Gospel", *JTS* 1: 1-15.
- (1954/55) "The Lamb of God", *NTS* 1:210-218.
- (1978) *The Gospel According to St. John*, 2nd ed. (Philadelphia: Westminster Press).
- Bartchy, S. Scott (1991) "Community of Goods in Acts: Idealization or Social Reality", in *The Future of*

- Early Christianity*, ed. B. A. Pearson (Minneapolis: Fortress Press) 309-318.
- Bassler, Jouette M. (1981) "The Galileans: A Neglected Factor in Johannine Community Research", *CBQ* 43: 243-257.
- (1989) "Mixed Signals: Nicodemus in the Fourth Gospel", *JBL* 108: 635-646.
- Bauckham, Richard (1996) "Nicodemus and the Gurion Family", *JTS* 47: 1-37.
- Bauer, W. (1979) *A Greek-English Lexicon of the New Testament and Other Early Christian Literature*, 2nd ed., rev. by F. W. Gingrich and F. W. Danker (Chicago: University Press).
- Baylis, Charles P. (1992) "The Meaning of Walking 'in the Darkness' (1 John 1:6)", *Bibliotheca Sacra* 149: 214-222.
- Beare, Francis W. (1987) "Spirit of Life and Truth: The Doctrine of the Holy Spirit in the Fourth Gospel", *Toronto Journal of Theology* 3: 110-125.
- Beasley-Murray, G. R. (1986) "John 3:3, 5: Baptism, Spirit and the Kingdom", *Expository Times* 97: 167-170.
- (1987) *John* (Word Biblical Commentary; Waco, TX: Word).
- Becker, Jürgen (1971) "Die Abschiedsreden Jesu im Johannesevangelium", *ZNW* 61: 215-246.
- (1979/1981) *Das Evangelium nach Johannes*, 2 vols. (Würzburg: Gütersloh and Echter-Verlag).
- (1998) "Das Geist- und Gemeindeverständnis des vierten Evangelisten", *ZNW* 89: 217-234.
- Behm, J. (1964-76) "παράκλητον", in *Theological Dictionary of the New Testament*, ed. G. Kittel and G. Friedrich, tran. and ed. G. Bromiley (Grand Rapids: Eerdmans) 5: 800-814.
- Benjamin, Harry S. (1976) "Pneuma in John and Paul: A Comparative study of the term with particular reference to the Holy Spirit", *BTB* 6: 27-48.
- Berg, Robert Alan (1989) *Pneumatology and the History of the Johannine Community: Insights from the farewell discourses and the First Epistle*. PhD dissertation, Drew University.
- Berger, Peter and Thomas Luckmann (1966) *The Social Construction of Reality: A Treatise in the Sociology of Knowledge* (Middlesex, England: Penguin Books Ltd.).
- Bergmeier, Roland von (1995) "Gottesherrschaft, Taufe and Geist: Zur Tauftradition in Joh 3", *ZNW* 86: 53-73.
- Best, Ernest (1960) "Spirit-Baptism", *Nov Test* 4:236-243.
- Betz, Otto (1963) *Der Paraklet* (Leiden/Köln: E. J. Brill).
- Black, Max (1962) "Models and Archetypes", in his *Models and Metaphors: Studies in Language and Philosophy* (Ithaca, NY: Cornell University Press) 219-243.
- Blank, Josef (1981) *Das Evangelium nach Johannes*, 4/1a (Düsseldorf: Patmos Verlag).



- Blenkinsopp, J. (1959/60) "John VII. 37-9: Another Note on a Notorious Crux", *NTS* 6: 95-98.
- Blok, A. (1969) "Variations in Patronage", *Sociologische Gids* 16: 365-378.
- Bobertz, Charles A. (1993) "The Role of Patron in the *Cena Dominica* of Hippolytus' *Apostolic Tradition*", *JTS* 44: 170-184.
- (1993) "Patronage Networks and the Study of Ancient Christianity", in *Studia Patristica* 31, ed. Elizabeth A. Livingstone (Leuven: Peeters) 20-27.
- (1997) "Patronal Letters of Commendation: Cyprian's *Epistulae* 38-40", in *Studia Patristica* 24, ed. Elizabeth A. Livingstone (Leuven: Peeters) 252-259.
- Boers, Hendrikus (1988) *Neither on this Mountain nor in Jerusalem: A Study of John 4* (Atlanta: Scholars Press).
- Bogart, John (1977) *Orthodox and Heretical Perfectionism in the Johannine Community as Evident in the First Epistle of John* (Missoula, Montana: Scholars Press).
- Boismard, Marie-Emile (1993) *Moses or Jesus: An Essay in Johannine Christology*, trans. B. T. Viviano (Minneapolis: Fortress Press).
- Boissevain, Jeremy (1966) "Patronage in Sicily", *Man* 1: 18-33.
- (1969) "Patrons as Brokers", *Sociologische Gids* 16: 379-386.
- (1974) *Friends of Friends: Networks, Manipulators and Coalitions* (Oxford: Basil Blackwell).
- (1977) "When the saints go marching out: Reflections on the decline of patronage in Malta", in *Patrons and Clients in Mediterranean Societies*, ed. Ernest Gellner and John Waterbury (London: Duckworth) 81-96.
- (1982/3) "Seasonal Variations on Some Mediterranean Themes", *Ethnologia Europaea* 13: 6-12.
- Boring, M. E. (1978-79) "The Influence of Christian prophecy on the Johannine portrayal of the Paraclete and Jesus", *NTS* 25: 113-123.
- Borgen, Peder (1959) "The Unity of the Discourse in John 6", *ZNW* 50: 277-278.
- (1965) *Bread From Heaven: An Exegetical Study of the Concept of Manna in the Gospel of John and the Writings of Philo* (Leiden: E. J. Brill).
- (1987) "God's Agent in the Fourth Gospel", in his *Philo, John, and Paul: New Perspectives on Judaism and Early Christianity* (Atlanta: Scholars Press) 171-184.
- Bornkamm, Günther (1967) *Geschichte and Glaube*, pt. 1 (München: Chr. Kaiser Verlag) 68-89.
- Botha, J. Eugene (1991) *Jesus and the Samaritan Woman: A Speech act reading of John 4:1-42* (Leiden: E. J. Brill).
- Bourdieu, Pierre (1963) "The Attitude of the Algerian Peasant toward Time", in *Mediterranean*

- Countrymen: Essays in the Social Anthropology of the Mediterranean*, ed. Julian Pitt-Rivers (Paris/ La Haye: Mouton) 55-72.
- Bowman, John (1983-84) "Metaphorically Eating and Drinking the Body and Blood", *Abr-Nahrain* 22: 1-6.
- Box, Herbert, ed. (1939) "Introduction", in *Philonis Alexandrini In Flaccum* (London: Oxford University Press) xiii-lxii.
- Braund, David (1989) "Function and dysfunction: personal patronage in Roman imperialism", in *Patronage in Ancient Society*, ed. Andrew Wallace-Hadrill (London: Routledge) 137-152.
- Breck, John (1991) *Spirit of Truth: The Holy Spirit in Johannine Tradition*, 2v. (Crestwood, NY: St. Vladimir's Seminary Press).
- Brooke, A. E. (1912) *A Critical and Exegetical Commentary on the Johannine Epistles* (New York: Charles Scribner's Sons).
- Brooke, George J. (1988) "Christ and the Law in John 7-10", in *Law and Religion: Essays on the Place of the Law in Israel and Early Christianity*, ed. Barnabas Lindars (Cambridge: James Clark & Co) 102-112.
- Broughton, Thomas R. S. (1934) "Roman Landholding in Asia Minor", *Transactions and Proceedings of the American Philological Association* 65: 207-239.
- Brown, Peter (1982) "The Rise and Function of the Holy Man in Late Antiquity", in his *Society and the Holy in Late Antiquity* (London: Faber and Faber) 103-152.
- Brown, Raymond (1960) "Three Quotations from John the Baptist in the Gospel of John", *CBQ* 22: 292-298.
- (1966-67) "The Paraclete in the Fourth Gospel", *NTS* 13: 113-132.
- (1966/70) *The Gospel According to John*, v.1 & 2 (Garden City: Doubleday).
- (1979) *The Community of the Beloved Disciple* (New York: Paulist).
- (1982) *The Epistles of John* (London: Geoffrey Chapman).
- Brunt, P. A. (1965) "'Amicitia' in the Late Roman Republic", *Proceedings of the Cambridge Philosophical Society* 11: 1-20.
- (1988) *The Fall of the Roman Republic and Related Essays* (Oxford: Clarendon Press).
- Bühner, J. A. (1977) *Der Gesandte und sein Weg im vierten Evangelium: Die kultur- und religions geschichtliche Grundlagen der johanneischen Sendungschristologie sowie ihre traditions geschichtliche Entwicklung* (Tübingen: J. C. B. Mohr [Paul Siebeck]).
- Bultmann, Rudolf (1965) *Theology of the New Testament*, v.2 (London: SCM Press).
- (1967) *Die drei Johannesbriefe* (Göttingen: Vandenhoeck & Ruprecht).

- (1969) "The Eschatology of the Gospel of John", in his *Faith and Understanding*, v.I, trans. by Louise Pettibone Smith (London: SCM Press, Ltd.) 165-183.
- (1971) *The Gospel of John*, trans. G. R. Beasley-Murray, ed. R. W. N. Hoare and J. K. Riches (Oxford: Basil Blackwell).
- (1973) *The Johannine Epistles: A Commentary on the Johannine Epistles*, trans. R. Philip O'Hara with Lane C. McGaughey and Robert W. Funk (Philadelphia: Fortress Press).
- Burge, Gary (1987) *The Anointed Community: The Holy Spirit in the Johannine Tradition* (Grand Rapids: Eerdmans).
- Byun, Jonggil (1992) *The Holy Spirit was not Yet: A Study on the relationship between the coming of the Holy Spirit and the Glorification of Jesus according to John 7:39* (Kampen: Uitgeversmaatschappij J. H. Kok).
- Caird, G. B. (1962) "John, Letter of", in *Interpreter's Dictionary of the Bible*, ed. G. A. Buttrick, et al. (New York: Abingdon) 2: 946-952.
- Campbell, J. K. (1964) *Honour, Family and Patronage* (Oxford: University Press).
- (1968) "Two Case Studies of Marketing and Patronage in Greece", in *Contributions to Mediterranean Sociology: Mediterranean Rural Communities and Social Change*, ed. J. G. Peristiany (Paris: Mouton & Co) 143-154.
- Carson, D. A. (1979) "The Function of the Paraclete in John 16:7-11", *JBL* 98: 547-566.
- (1991) *The Gospel According to John* (Grand Rapids, Mich.: Eerdmans).
- Casurella, Anthony (1983) *The Johannine Paraclete in the Church Fathers* (Tübingen: J. C. B. Mohr [Paul Siebeck]).
- Charles, R. H. (1913) *The Apocrypha and Pseudepigrapha of the Old Testament* (Oxford: Clarendon Press).
- Cicero, Quintus (1878) "On Standing for the Consulship", in *The Treatises of M. T. Cicero on the Nature of the Gods; On Divination; On Fate; On the Republic; On the Laws. And On Standing for the Consulship*, ed. and trans. C. D. Yonge (London: George Bell and Sons) 485-503.
- Coetzee, J. C. (1979) "The Holy Spirit in 1 John", in *Studies in the Johannine Letters* (Neotestamentica 13: The New Testament Society of South Africa) 43-67.
- Conzelmann, Hans von (1954) "Was von Anfang war", in *Neutestamentliche Studien für R. Bultmann*, supplement to ZNW 21: 194-201.
- Cook, J. M. (1962) *The Greeks in Ionia and the East* (London: Thames and Hudson).
- Cunningham, Robert B. and Yasin K. Sarayrah (1993) *WASTA: The Hidden force in Middle Eastern Society* (Westport, Conn.: Praeger).
- Cyprian (1984) *The Letters of St. Cyprian of Carthage*, trans. G. W. Clarke (New York, NY: Newman Press).

- Danet, Brenda (1989) *Pulling Strings: Biculturalism in Israeli Bureaucracy* (Albany, NY: State University of New York Press).
- Danker, Frederick W. (1982) *Benefactor: Epigraphic Study of a Graeco-Roman and New Testament Semantic Field* (St. Louis: Clayton).
- Davies, J. G. (1953) "The Primary meaning of ΠΑΡΑΚΛΗΤΟΣ", *JTS* 4: 35-38.
- Davies, W. D. (1996) "Reflections on Aspects of the Jewish Background of the Gospel of John", in *Exploring the Gospel of John; In Honor of D. Moody Smith*, ed. Alan Culpepper and C. Clifton Black (Louisville: Westminster/John Knox) 43-64.
- Davis, J. (1977) *People of the Mediterranean: An essay in comparative social anthropology* (London: Routledge & Kegan Paul).
- de Boer, Martinus C. (1996) *Johannine Perspectives on the Death of Jesus* (Kampen, the Netherlands: Kok Pharos).
- de Jonge, Marinus (1970) "The Use of the Word *χριστος* in the Johannine Epistles", in *Studies in John: Presented to Professor Dr. J. N. Sevenster on the Occasion of his Seventieth Birthday*, ed. M. C. Rientsma (Leiden: E. J. Brill) 66-74.
- (1977) *Jesus, Stranger from Heaven and Son of God: Jesus Christ and the Christians in Johannine Perspective*, ed. and trans. John E. Steely (Missoula, Montana: Scholars Press).
- de la Potterie, Ignace and Stanislaus Lyonnet (1971) *The Christian Lives by the Spirit* (Staten Island: Alba).
- (1977) *La Vérité dans Saint Jean*, 2 vol. (Rome: PBI).
- (1986) "The Truth in Saint John", in *The Interpretation of John*, ed. John Ashton (Philadelphia: Fortress Press): 53-66.
- de Silva, David A. (1996) "Exchanging Favor for Wrath: Apostasy in Hebrews and patron-client relationships", *JBL* 115: 91-116.
- Demosthenes (1971) *Demosthenes, II*, trans. C. A. & J. H. Vince (Loeb Classical Library, No. 155; Cambridge, Mass.: Harvard University Press).
- Derrett, J. Duncan M. (1971) "Law in the New Testament: The Parable of the Unjust Judge", *NTS* 18: 178-191.
- Dettwiler, A. (1995) *Die Gegenwart des Erhöhten: Eine exegetische Studie zu den johanneischen Abschiedsreden (Joh 13,31-16,33) unter besonderer Berücksichtigung ihres Relecture-Charakters* (Göttingen: Vandenhoeck & Ruprecht).
- Diels, H. (1935) *Die Fragmente der Vorsokratiker*, 5th ed. (Berlin, Germany: Weidmannsche Buchhandlung).
- Dietzfelbinger, Christian (1985) "Paraklet und theologischer Anspruch im Johannesevangelium", *Zeitschrift für Theologie und Kirche* 82: 389-408.

- (1997) *Der Abschied des Kommenden: Eine Auslegung der johanneischen Abschiedsreden* (Tübingen: J. C. B. Mohr [Paul Siebeck]).
- Diodorus of Sicily (1947) *Diodorus of Sicily*, IX, trans. Russel M. Geer (London: William Heinemann).
- Diogenes Laertius (1980) *Lives of Eminent Philosophers*, I, trans. R. D. Hicks (Loeb Classical Library, No. 184; Cambridge, Mass.: Harvard University Press).
- Dionysius of Halicarnassus (1950) *The Roman Antiquities*, VII, trans. Earnest Cary (Loeb Classical Library; London: Heinemann, Ltd.).
- Dodd, C. H. (1937) "The First Epistle of John and the Fourth Gospel", *Bulletin of the John Rylands Library* 21: 129-156.
- (1960) *The Interpretation of the Fourth Gospel* (Cambridge: University Press).
- Domeris, W. R. (1991) "The Farewell Discourse: An Anthropological Perspective", *Neotestamentica* 25: 233-250.
- Dover, Sir Kenneth (1974) *Greek Popular Morality in the time of Plato and Aristotle* (Indianapolis: Hackett Publishing Company, Inc.).
- Draper, J. A. (1992) "The Sociological function of the Spirit/Paraclete in the Farewell Discourses in the Fourth Gospel", *Neotestamentica* 26: 13-29.
- Duke, P. (1985) *Irony in the Fourth Gospel* (Atlanta: John Knox).
- Dunn, James D. G. (1992) "The Question of Anti-Semitism in the New Testament", in his *Jews and Christians: The Parting of the Ways A. D. 70 to 135* (Tübingen: J. C. B. Mohr [Paul Siebeck]) 177-211.
- Du Rand, J. A. (1992) "A Story and a Community: Reading the first Farewell Discourse (John 13:31-14:31) from narratological and sociological perspectives", *Neotestamentica* 26: 31-45.
- Edwards, Ruth B. (1996) *The Johannine Epistles* (Sheffield: Sheffield Academic Press).
- Eisenstadt, S. N. and L. Roniger (1980) "Patron-Client Relations as a Model of Structuring Social Exchange", *Comparative Studies in Society and History* 22: 42-77.
- (1984) *Patrons, clients and friends: Interpersonal relations and the structure of trust in society* (Cambridge: University Press).
- Elliot, John H. (1995) *Social Scientific Criticism of the New Testament* (London: SPCK).
- Elsthain, Jean Bethke (1981) *Public Man, Private Woman: Women in Social and Political Thought* (Oxford: Martin Robertson).
- Ensor, Peter W. (1996) *Jesus and His "Works": The Johannine Sayings in Historical Perspective* (Tübingen: J. C. B. Mohr [Paul Siebeck]).
- Esler, Philip F. (1992) "Glossolalia and the Admission of Gentiles into the Early Christian Community", *BTB* 22: 136-142.

- (1994) *The First Christians in their Social Worlds: Social-scientific approaches to New Testament interpretation* (London: Routledge).
- (1995) "Introduction: Models, context, and kerygma in New Testament interpretation", in *Modelling Early Christianity*, ed. Philip F. Esler (London: Routledge) 1-20.
- (1997) "Family Imagery and Christian Identity in Gal 5:13 to 6:10", in *Constructing Early Christian Families: Family as social reality and metaphor*, ed. Halvor Moxnes (London and New York: Routledge) 121-149.
- (1998) *Galatians* (London: Routledge).
- Evans, Craig A. (1993) "Moses and Jesus as Agents of the Lord", in his *Word and Glory: On the exegetical and theological background of John's Prologue* (Sheffield: Sheffield Academic Press) 135-144.
- Falk, Z. W. (1972) *Introduction to Jewish Law of the Second Commonwealth* (Leiden: E. J. Brill).
- Farrag, Amina (1977) "The wastah among Jordanian villagers" in *Patrons and Clients in Mediterranean Societies*, ed. Ernest Gellner and John Waterbury (London: Duckworth) 225-238.
- Fee, Gordon D. (1978) "Once More - John 7: 37-39", *Expository Times* 89: 116-118.
- Ferraro, Giuseppe (1984) *Lo Spirito e Cristo nel vangelo di Giovanni* (Brescia: Paideia).
- Findlay, George G. (1909) *Fellowship in the Life Eternal* (London: Hodder and Stoughton).
- Finlay, George (1844) *Greece Under the Romans* (London: J. M. Dent & Co.).
- Finley, Moses I. (1983) "Authority and Patronage", in his *Politics in the Ancient World* (Cambridge: Cambridge University Press).
- (1985) *The Ancient Economy* (London: The Hogarth Press).
- Flynn, Peter (1974) "Class, Clientelism, and Coercion: Some mechanisms of internal dependency and control", *Journal of Commonwealth and Comparative Politics* 12: 129-156.
- Forestell, J. T. (1995) "Jesus and the Paraclete in the Gospel of John", in *Word and Spirit: Essays in honor of David Michael Stanley on his 60th birthday*, ed. Joseph Plevnik (Willowdale, ON: Regis College Press) 151-197.
- Foster, George M. (1965) "Peasant Society and the Image of Limited Good", *American Anthropologist* 67: 293-315.
- (1967) "The Dyadic Contract: A Model for the social structure of a Mexican peasant village", in *Peasant Society: A Reader*, ed. Jack M. Potter, May N. Diaz, and George M. Foster (Boston: Little, Brown and Company) 213-230.
- Fowler, R. (1970-71) "Born of water and Spirit (Jn. 3.5)", *Expository Times* 82: 159.
- Franck, Eskil (1985) *Revelation Taught: The Paraclete in the Gospel of John* (Malmö, Sweden: CWK



Gleerup).

- Freed, Edwin (1965) *Old Testament Quotations in the Gospel of John* (Leiden: E. J. Brill).
- Freedman, Harry and Maurice Simon, ed. (1939) *Midrash Rabbah*, v.8 (London: Soncino).
- Freyne, Sean (1985) "Vilifying the Other and Defining the Self: Matthew's and John's Anti-Jewish Polemic in Focus", in *"To See Ourselves as Others See Us": Christians, Jews, "Others" in Late Antiquity*, ed. J. Neusner and E. S. Frerichs (Chico: Scholars Press) 117-143.
- (1995) "Herodian Economics in Galilee", in *Modelling Early Christianity*, ed. Philip F. Esler (London: Routledge) 23-46.
- Friedrich, Paul (1977) "Sanity and the Myth of Honor: The Problem of Achilles", *Ethos* 5: 281-305.
- Fronto, Marcus Cornelius (1919) *The Correspondence of Marcus Cornelius Fronto*, 2 v., ed. and trans. C. R. Haines (Cambridge, MA: Loeb Classical Library).
- Frühwalk-König, Johannes (1998) *Tempel und Kult: Ein Beitrag zur Christologie des Johannesevangeliums* (Regensburg: Verlag Friedrich Pustet).
- Garnsey, Peter and Richard Saller (1987) *The Roman Empire: Economy, Society and Culture* (Berkeley: University of California Press).
- Garrett, Susan (1992) "Sociology of Early Christianity", in *The Anchor Bible Dictionary*, ed. David N. Freedman (New York: Doubleday) 6: 89-99.
- Gellner, Ernest and John Waterbury, ed. (1977) *Patrons and Clients in Mediterranean Societies* (London: Duckworth).
- Gelzer, Matthias (1975) *The Roman Nobility* (Oxford: Basil Blackwell).
- Gilmore, David (1982) "Anthropology of the Mediterranean Area", *Annual Review of Anthropology* 11: 175-205.
- Gilmore, David, ed. (1987) *Honor and Shame and the Unity of the Mediterranean* (American Anthropological Association special publication No. 22; Washington: American Anthropological Association).
- Glasson, T. Francis (1963) *Moses in the Fourth Gospel* (Naperville, IL: Alec R. Allenson, Inc.).
- Goguel, Maurice (1985) *La notion johannique de l'esprit et ses antécédents historiques étude de théologie biblique* (Paris: Fischbacher).
- Goodman, Felicitas D. (1988) *Ecstasy, Ritual, and Alternate Reality: Religion in a Pluralistic World* (Bloomington and Indianapolis: Indiana University Press).
- Goulder, Michael (1991) "Nicodemus", *Scottish Journal of Theology* 44: 153-168.
- Grassi, Joseph A. (1986) "The Role of Jesus' Mother in John's Gospel: A Reappraisal", *CBQ* 48: 67-80.
- (1987) "Eating Jesus' Flesh and Drinking his Blood: The Centrality and Meaning of John 6:51-58",

BTB 17: 24-30.

Grayston, Kenneth (1981) "The Meaning of PARAKLETOS", *JSNT* 13: 67-82.

-- (1984) *The Johannine Epistles* (Grand Rapids: William B. Eerdmans Pub. Co).

-- (1990) *The Gospel of John* (London: Epworth Press).

Grelot (1963) "Jean VII, 38: eau du rocher ou source du Temple?", *Revue Biblique* 70: 43-51.

Grese, William C. (1988) "'Unless one is Born Again': The Use of a heavenly journey in John 3", *JBL* 107: 677-693.

Grigsby, Bruce H. (1982) "The Cross as an Expiatory Sacrifice in the Fourth Gospel", *JSNT* 15: 51-80.

-- (1986) "'If Any Man Thirsts...': Observations on the Rabbinic Background of John 7,37-39", *Biblica* 67: 101-108.

Gundry, Robert H (1967) "'In my Father's House are many Movai' (John 14:2)", *ZNW* 58: 68-72.

Gunkel, Hermann (1979) *The Influence of the Holy Spirit: the Popular view of the apostolic age and the teaching of the apostle Paul, a biblical-theological study*, trans. Roy A. Harrisville and Philip A. Quanbeck II (Philadelphia: Fortress Press).

Haenchen, Ernst (1984) *John, 2 v.*, trans. Robert W. Funk, ed. Robert W. Funk with Ulrich Busse (Philadelphia: Fortress Press).

Hahn, Ferdinand (1977) "Die Worte vom lebendigen Wasser im Johannesevangelium. Eigenart und Vergeschichte von Joh 4,10.13f.; 6,35; 7,37-39", in *God's Christ and His People: Studies in honor of Nils Alstrup Dahl*, ed. Jacob Jervell and Wayne A. Meeks (Oslo: Universitetsforlaget) 51-70.

Hall, A. (1974) "Patronage", *Journal of Peasant Studies* 1: 506-509.

Halliday, Michael A. K. (1976) "Anti-languages", *American Anthropologist* 78: 570-584.

-- (1978) *Language as social semiotic: The Social interpretation of language and meaning* (London: Edward Arnold).

Hands, A. R. (1968) *Charities and Social Aid in Greece and Rome* (London: Thames and Hudson).

Harris, Elizabeth (1994) *Prologue and Gospel: The Theology of the Fourth Evangelist* (Sheffield: Sheffield Academic Press).

Harvey, A. E. (1976) *Jesus on Trial: A Study of the Fourth Gospel* (Atlanta: John Knox).

-- (1987) "Christ as Agent", in *The Glory of Christ in the New Testament*, ed. L. D. Hurst and N. T. Wright (Oxford: Clarendon) 239-250.

Heil, John Paul (1995) *Blood and Water: The Death and Resurrection of Jesus in John 18-21* (The Catholic Biblical Quarterly Monograph Series 27; Washington: The Catholic Biblical Association of America)

- Hengel, Martin (1989) *The Johannine Question* (Philadelphia: Trinity Press International).
- Héraclite (1962) *Allégories d'Homère*, French trans. Félix Buffière (Paris: Société D'Édition).
- Hergenröder, C. (1996) *Wir schauten seine Herrlichkeit: Das johanneische Sprechen vom Sehen im Horizont von Selbsterschließung Jesu und Antwort des Menschen* (Würzburg: Echter).
- Herman, Gabriel (1987) *Ritualised Friendship and the Greek City* (Cambridge: University Press).
- Herodotus (1933) *The History of Herodotus*, I, trans. George Rawlinson (London: J. M. Dent & Sons).
- Hiebert, D. Edmond (1989) "An Exposition of 1 John 2: 18-28", *Bibliotheca Sacra* 146: 76-93.
- (1990) "An Exposition of 1 John 5:1-12", *Bibliotheca Sacra* 147: 216-230.
- Hobbs, T. Raymond (1997) "Reflections on honor, shame, and covenant relations", *JBL* 116: 501-503.
- Hooke, S. H. (1962-63) "The Spirit Was Not Yet", *NTS* 9: 372-380.
- Horsley, Richard A. (1989) *Sociology and the Jesus Movement* (New York: Crossroad).
- Houlden, J. L. (1973) *A Commentary on the Johannine Epistles* (London: Adam & Charles Black).
- Howard, W. F. (1947) "The Common Authorship of the Johannine Gospel and Epistles", *JTS* 48: 12-25.
- Howard-Brook, Wes (1994) *Becoming Children of God: John's Gospel and Radical Discipleship* (Maryknoll, NY: Orbis).
- Howell, Peter (1980) *A Commentary on Book One of the Epigrams of MARTIAL* (London: The Athlone Press).
- Hutter, H. (1978) *Politics as Friendship* (Waterloo, Ont.: Wilfred Laurier).
- Ibuki, Y. (1972) *Die Wahrheit im Johannesevangelium* (Bonn: Hanstein).
- Isaacs, Marie E. (1976) *The Concept of Spirit: A Study of Pneuma in Hellenistic Judaism and its bearing on the New Testament* (London: Heythrop College).
- Iutovich, Mark, Charles E. Babbitt and Joyce Iutovich (1979) "Time Perception: A Case Study of a Developing Nation", *Sociological Focus* 12: 71-85.
- Izraeli, Dove (1997) "Business Ethics in the Middle East", *Journal of Business Ethics* 16: 1555-1560.
- Johansson, N. (1940) *Parakletoi* (Lund: Gleerup).
- Johnson, Luke T. (1989) "The New Testament's Anti-Jewish Slander and the Conventions of Ancient Polemic", *JBL* 108: 419-441.
- Johnston, George (1970) *The Spirit-Paraclete in the Gospel of John* (Cambridge: University Press).
- Jonas, Hans (1992) *The Gnostic Religion: The Message of the Alien God and the Beginnings of Christianity*, 2nd ed. (London: Routledge).

- Jones, Larry Paul (1987) *The Symbol of Water in the Gospel of John* (Sheffield: Sheffield Academic Press).
- Jones, James M. (1988) "Cultural Differences in Temporal Perspectives: Instrumental and Expressive", in *The Social Psychology of Time: New Perspectives*, ed. Joseph E. McGrath (Newbury Park: Sage) 21-38.
- Joubert, Stephan J. (1999) "One Form of Social Exchange or Two? Ancient Graeco-Roman Benefaction, Patronage, and Second Testament Studies", an unpublished paper presented at the 1999 Context Conference in Portland, Oregon.
- Käsemann, Ernst (1968) *The Testament of Jesus: A Study of the Gospel of John in the Light of Chapter 17*, ed. G. Krodel (London: SPCK).
- Kautsky, John H. (1982) *The Politics of Aristocratic Empires* (Chapel Hill: University of North Carolina).
- Keener, Craig S. (1991) *The Function of Johannine Pneumatology in the Context of Late First Century Judaism*. PhD dissertation, Duke University.
- Kenny, Michael (1960) "Patterns of patronage in Spain", *Anthropological Quarterly* 33: 14-23.
- Khalaf, Samir (1977) "Changing forms of political patronage in Lebanon", in *Patrons and Clients in Mediterranean Societies*, ed. Ernest Gellner and John Waterbury (London: Duckworth) 185-205.
- Kieffer, René (1987) "Different Levels in Johannine Imagery", in *Aspects on the Johannine Literature: Papers presented at the conference of Scandinavian New Testament exegetes at Uppsala, June 16-19, 1986*, ed. Lars Hartman and Birger Olsson (Uppsala: Uppsala Universitet) 74-84.
- Kilpatrick, G. D. (1960) "The Punctuation of John VII. 37-38", *JTS* 11: 340-342.
- Knapp, Henry M. (1997) "The Messianic Water which Gives Life to the World", *Horizons in Biblical Theology* 19: 109-121.
- Koester, Craig R. (1990) "'The Savior of the World' (John 4:42)", *JBL* 109: 665-680.
- (1995) *Symbolism in the Fourth Gospel: Meaning, Mystery, Community* (Minneapolis: Fortress Press).
- Kovacs, Judith L. (1995) "'Now Shall the Ruler of this World be Driven Out': Jesus' Death as Cosmic Battle in John 12:20-36", *JBL* 114: 227-247.
- Kremer, Jacob von (1977) "Jesus Verheissung des Geistes. Zur Verankerung der Aussage von Joh 16:13 im Leben Jesu", in *Die Kirche des Angangs, Festschrift für Heinz Schürmann zum 65. Geburtstag*, ed. R. Schnackenburg, J. Ernst, and J. Wanke (Erfurter Theologische Studien 38; Leipzig: St. Benno-Verlad) 247-276.
- Kuschel, Karl-Josef (1992) "John's Bold Synthesis: The Narratives of the Pre-existent Son on Earth", in *his Born Before all Time? The Dispute over Christ's Origin*, trans. John Bowden (New York, NY: Crossroad).

- Kuyper, Lester (1964) "Grace and Truth: An Old Testament Description of God, and Its Use in the Johannine Gospel", *Interpretation* 18: 3-19.
- Kysar, Robert (1975) *The Fourth Evangelist and His Gospel* (Minneapolis: Augsburg).
- (1986) *I, II, III John* (Minneapolis: Augsburg Publishing House).
- (1992) "Anti-Semitism and the Gospel of John", in *Faith and Polemic: Studies in Anti-Semitism and Early Christianity*, ed. C. A. Evans and D. A. Hager (Minneapolis: Fortress) 113-127.
- Landè, Carl H. (1977) "Introduction: The Dyadic Basis of Clientism", in *Friends, Followers and Factions: A Reader in Political Clientism*, ed. Steffen W. Schmidt, Laura Guasti, Carl H. Landè and James C. Scott (Berkeley and Los Angeles: University of California Press) xiii-xxxvii.
- Larsen, J. A. O. (1938) "Africa, Syria, Greece, and Asia Minor", in *An Economic Survey of Ancient Rome*, ed. Frank Tenney (Baltimore: Johns Hopkins Press) 4: 259-498.
- Lauer, R. H. (1981) *Temporal Man: The Meaning and Uses of Social Time* (New York: Praeger).
- Lenski, Gerhard E. (1984) *Power and Privilege: A Theory of social stratification* (Chapel Hill and London: The University of North Carolina Press).
- Leroy, Herbert (1968) *Rätsel und Missverständnis: Ein Beitrag zur Formgeschichte des Johannesevangeliums* (Bonn: Hanstein).
- Levison, John R. (1997) *Spirit in 1st century Judaism* (Leiden: E. J. Brill).
- Lewis, I. M. (1971) *Ecstatic Religion: An Anthropological Study of Spirit Possession and Shamanism* (Middlesex, England: Penguin Books Ltd.).
- Liddell and Scott (1997) *An Intermediate Greek-English Lexicon*, founded upon the seventh edition of Liddell and Scott's Greek-English Lexicon (Oxford: Clarendon Press).
- Liebeschuetz, J. H. W. G. (1972) *Antioch: City and Imperial Administration in the Later Roman Empire* (Oxford: Clarendon Press).
- Lieu Judith M. (1991) *The Theology of the Johannine Epistles* (Cambridge: Cambridge University Press).
- (1998) "The Mother of the Son in the Fourth Gospel", *JBL* 117: 61-77.
- (1999) "Temple and Synagogue in John", *NTS* 45: 51-69.
- Lincoln, Andrew (1994) "Trials, plots and the narrative of the Fourth Gospel", *JSNT* 56: 3-30.
- Lindars, Barnabas (1972) *The Gospel of John* (Grand Rapids: Eerdmanns).
- Loader, William (1989) *The Christology of the Fourth Gospel: Structure and Issues* (Frankfurt am Main: Verlag Peter Lang).
- Loizos, Peter (1977) "Politics and Patronage in a Cypriot village, 1920-1970", in *Patrons and Clients in Mediterranean Societies*, ed. Ernest Gellner and John Waterbury (London: Duckworth) 115-135.

- Lona, Horacio E. (1976) *Abraham in Johannes 8: Ein Beitrag zur Methodenfrage* (Berne/ Frankfurt: Herbert Lang/Peter Lang).
- Long, Tom and Melvin Vance (1993) "An Introduction to the Social Scientific Approach to Scripture", in *Directions in New Testament Methods*, ed. Martin C. Albl, Paul Eddy, and Renée Mirkes (Marquette University Press) 91-98.
- Longenecker, Bruce W. (1995) "The Unbroken Messiah: A Johannine feature and its social functions", *NTS* 41: 428-441.
- Lowe, M. (1975) "Who were the Ioudaioi?", *NovTest* 17: 101-130.
- MacMullen, Ramsay (1974) *Roman Social Relations: 50 B.C. To A.D. 284* (London: Yale University Press).
- (1980) "Woman in Public in the Roman Empire", *Historia* 29: 208-218.
- Macro, Anthony D. (1980) "The Cities of Asia Minor under the Roman Imperium", *Aufstieg und Niedergang der römischen Welt*, II.7.2, ed. H. Temporini and W. Haase (Berlin: Walter de Gruyter) 658-697.
- Magie, David (1950) *Roman Rule in Asia Minor: to the end of the third century after Christ*, v.1: text (Princeton: Princeton University Press).
- Maines, David R. (1987) "The Significance of Temporality for the Development of Sociological Theory", *Sociological Quarterly* 28: 303-311.
- Malatesta, Edward (1978) *Interiority and Covenant: A Study of εἶναι ἐν and μένειν ἐν in the First Letter of Saint John* (Analecta Biblica 69; Rome: Biblical Institute Press).
- Malina, Bruce (1982) "The Social Sciences and Biblical Interpretation", *Interpretation* 36: 229-242.
- (1993) *The New Testament World: Insights from cultural anthropology*, rev. ed. (Louisville: Westminster/John Knox Press).
- (1996) *The Social World of Jesus and the Gospels* (London: Routledge).
- Malina, Bruce and Richard Rohrbaugh (1992) *Social-Science Commentary on the Synoptic Gospels* (Minneapolis, MN: Fortress Press).
- (1998) *Social-Science Commentary on the Gospel of John* (Minneapolis, MN: Fortress Press).
- Manns, Frédéric (1988) *John and Jamnia: How the Break Occurred Between Jews and Christians c.80-100 A. D.*, trans. by M. Duel and M. Riadi (Jerusalem: Franciscan Printing Press).
- Marshall, I. Howard (1978) *The Epistles of John* (Grand Rapids, Mich.: William B. Eerdmans Pub. Co.).
- Martyn, J. Louis (1979) *History and Theology in the Fourth Gospel* (Nashville: Abingdon).
- Mathai, Varghese (1996) "Paraclete and Johannine Christology", *Bible Bhashyam* 22: 120-138.



- Mathews, Revi J. (1992) *The Spirit-Paraclete in the Testament of Jesus according to Saint John's Gospel*. PhD dissertation, Fordham University.
- McGrath, J. F. (1997) "Going up and coming down in Johannine legitimation", *Neotestamentica* 31: 107-118.
- McGrath, Joseph E. and Janice R. Kelly (1986) *Time and Human Interaction: Toward a Social Psychology of Time* (New York: Guilford).
- McLaren, James S. (1991) *Power and Politics in Palestine* ( JSNT Supplement Series 63; Sheffield: Sheffield Academic Press).
- McPolin, James (1978a) "Johannine Mysticism", *The Way* (London) 18: 25-35.
- (1978b) "Holy Spirit in Luke and John", *Irish Theological Quarterly* 45: 117-131.
- Meagher, John C. (1969) "John 1.14 and the New Temple", *JBL* 88: 57-68.
- Meeks, Wayne A. (1972) "The Man from heaven in Johannine sectarianism", *JBL* 91: 44-72.
- (1975) "'Am I a Jew?': Johannine Christianity and Judaism", in *Christianity, Judaism, and other Greek-Roman Cults*, pt. 1, ed. Jacob Neusner (Leiden, E. J. Brill) 163-185.
- Menken, Maarten J. J. (1993a) "John 6,51c-58: Eucharist or Christology?", *Biblica* 74: 1-26.
- (1993b) "The Christology of the Fourth Gospel: A Survey of Recent Research", in *From Jesus to John: Essays on Jesus and New Testament Christology in Honour of Marinus de Jonge*, ed. Martinus de Boer (JSNT Supp. Series 84. Sheffield: Sheffield Academic Press) 292-320.
- Meyer, Paul W. (1996) "'The Father': The Presentation of God in the Fourth Gospel", in *Exploring the Gospel of John; In Honor of D. Moody Smith*, ed. Alan Culpepper and C. Clifton Black (Louisville: Westminster/John Knox) 255-273.
- Miguéns, M. (1963) *El Paráclito* (Jerusalem: no pub. listed).
- Miller, Ed. L. (1993) "The Johannine Origins of the Johannine Logos", *JBL* 112: 445-457.
- Miller, J. Innes (1969) *The Spice Trade of the Roman Empire: 29 B. C. to A. D. 641* (Oxford: Clarendon Press).
- Millett, Paul (1989) "Patronage and its avoidance in classical Athens", in *Patronage in Ancient Society*, ed. Andrew Wallace-Hadrill (London: Routledge) 15-47.
- Miranda, Jesse (1987) "The Holy Spirit in Samaria", *Paraclete* 21:5-9.
- Miranda, Juan Peter (1977) *Die Sendung Jesu im vierten Evangelium: Religions- und theologisch-geschichtliche Untersuchungen zu den Sendungsformeln* (Stuttgart: Verlag Katholisches Bibelwerk).
- Moloney, Francis J. (1996) *Signs and Shadows: Reading John 5-12* (Minneapolis: Fortress Press).
- (1998) *Glory not Dishonor: Reading John 13-21* (Minneapolis: Fortress Press).

- Momigliano, Arnaldo (1966) "Time in Ancient Historiography", *History and Theory: Studies in the Philosophy of History*, Beiheft 6: 1-23.
- Morris, Leon (1972) *The Gospel according to John* (London: Marshall, Morgan & Scott).
- Motyer, Stephen (1997) *Your Father the Devil? A New Approach to John and 'the Jews'* (Paternoster Press: Carlisle, UK).
- Moule, C. F. D. (1975) "The Meaning of 'Life' in the Gospels and Epistles of St John", *Theology* 78: 114-125.
- Moulton, James H. and W. F. Howard (1920) *A Grammar of the New Testament*, v.2 (Edinburgh: T & T Clark).
- Mowinkel, S. (1933) "Die Vorstellung des Spätjudentums vom heiligen Geist als Fürsprecher und der johanneische Paraklet", *ZNW* 32: 97-130.
- Moxnes, Halvor (1988) *The Economy of the Kingdom: Social Conflict and Economic Relations in Luke's Gospel* (Philadelphia: Fortress Press).
- (1991) "Patron-Client Relations and the New Community in Luke-Acts", in *The Social World of Luke-Acts: Models for Interpretation*, ed. Jerome Neyrey (Peabody, Mass.: Hendrickson Pub.) 241-268.
- (1993) "BTB Readers Guide: Honor and Shame", *BTB* 23: 167-76.
- Moxnes, Halvor, ed. (1997) *Constructing Early Christian Families: Family as social reality and metaphor* (London and New York: Routledge).
- Müller, U. B. (1974) "Die Parakletenvorstellung im Johannesevangelium", *Zeitschrift für Theologie und Kirche* 71: 31-77.
- Mussner, F. (1961) "Die Johanneischen Parakletsprüche und die apostolische Tradition", *Biblische Zeitschrift* 5: 56-70.
- Neyrey, Jerome H. (1981) "John III - A Debate over Johannine Epistemology and Christology", *NovTest* 23: 115-127.
- (1986) "'My Lord and My God': The Divinity of Jesus in John's Gospel", *1986 Seminar Papers Series* 25 (Atlanta: Society of Biblical Literature) 152-171.
- (1994) "What's wrong with this picture? John 4, Cultural stereotypes of women, and public and private spaces", *BTB* 24: 77-91.
- (1996) "The Trials (Forensic) and Tribulations (Honor Challenges) of Jesus: John 7 in Social Scientific Perspective", *BTB* 26: 107-124.
- Nicholson, Godfrey C. (1983) *Death as Departure: The Johannine descent-ascent schema* (Chico, CA: Scholars Press).
- Nicols, John (1980) "Pliny and the Patronage of Communities", in *Hermes* 108: 365-385.

- O'Day, G. (1986) *Revelation in the Fourth Gospel: Narrative Mode and Theological Claim* (Philadelphia: Fortress).
- O'Grady, John F. (1984) "The Human Jesus in the Fourth Gospel", *BTB* 14: 63-66.
- O'Neill, J. C. (1979) "The Lamb of God in the Testaments of the Twelve Patriarchs", *JSNT* 2: 2-30.
- Odeberg, Hugo (1974) *The Fourth Gospel* (Amsterdam: B. R. Grüner).
- Oñate-Ojeda, J. Á. (1998) *El Paráclito y notas exegéticas sobre la Santísima Trinidad en San Juan* (Valencia: Publicaciones de la Facultad de Teología San Vicente Ferrer).
- Olsson, Birger (1974) *Structure and Meaning in the Fourth Gospel* (Lund: CWK Gleerup).
- Osiek, Carolyn and David L. Balch (1997) *Families in the New Testament World: Households and House Churches* (Louisville, KY: Westminster John Knox Press).
- Paige, T. (1993) "Holy Spirit", in *The Dictionary of Paul and his Letters*, ed. Gerald F. Hawthorne and Ralph P. Martin (Downers Grove, Illinois: InterVarsity Press) 404-413.
- Painter, John (1981) "The Farewell Discourses and the History of Johannine Christianity", *NTS* 27: 525-543.
- (1986) "The 'opponents' in 1 John", *NTS* 32: 48-71.
- (1989) "Tradition and Interpretation in John 6", *NTS* 35: 421-450.
- (1993) *The Quest for the Messiah: The history, literature and theology of the Johannine Community* (Edinburgh: T & T Clark).
- Pamment, Margaret (1983) "John 3:5: 'Unless one is born of water and Spirit, he cannot enter the kingdom of God'", *NovTest* 25: 189-90.
- Patrick, Johnstone G. (1970) "The Promise of the Paraclete", *Bibliotheca Sacra* 127: 333-345.
- Pazdan, Mary Margaret (1987) "Nicodemus and the Samaritan woman", *BTB* 17: 145-148.
- Pedersen, J. (1940) *Israel: Its life and culture* (London: Humphrey Milford).
- Peristiany, J. G., ed. (1965) *Honour and Shame: The Values of Mediterranean Society* (London: Weidenfeld and Nicolson).
- (1976) *Honor and Shame: Mediterranean Family Structures* (Cambridge: Cambridge University Press).
- Peristiany, J. G. and Julian A. Pitt-Rivers, ed. (1987) *Honor and Grace in Anthropology* (Cambridge: Cambridge University Press).
- Perry, John M. (1993) "The Evolution of the Johannine Eucharist", *NTS* 39: 22-35.
- Peters, E. L. (1968) "The Tied and the Free", in *Contributions to Mediterranean Sociology*:

- Mediterranean Rural Communities and Social Change*, ed. J. G. Peristiany (Paris: Mouton & Co) 167-188.
- Philo (1929) *Philo*, I, trans. F. H. Colson (Loeb Classical Library; London: Heinemann, Ltd.).
- Philo (1935) *Philo*, VI, trans. F. H. Colson (Loeb Classical Library; London: Heinemann, Ltd.).
- Philo (1937) *Philo*, VII, trans. F. H. Colson (Loeb Classical Library; London: Heinemann, Ltd.).
- Philo (1939) *Philo*, VIII, trans. F. H. Colson (Loeb Classical Library; London: Heinemann, Ltd.).
- Philo (1941) *Philo*, IX, trans. F. H. Colson (Loeb Classical Library; London: Heinemann, Ltd.).
- Pilch, John J. (1993) "Visions in Revelation and Alternate Consciousness: A Perspective from Cultural Anthropology", *Listening* 28: 231-244.
- (1995) "The Transfiguration of Jesus", in *Modelling Early Christianity*, ed. Philip F. Esler (London: Routledge) 47-64.
- (1996) "Altered States of Consciousness: A 'Kitbashed' Model", *BTB* 26: 133-138.
- Pink, Arthur (1945) *Exposition of the Gospel of John* (Grand Rapids, MI: Zondervan).
- Piper, Ron (1998) "Glory, Honour and Patronage in the Fourth Gospel: Understanding the glory given to disciples in Jn 17:22", unpublished paper presented to the Context Group, March 1998.
- Pitt-Rivers, Julian A. (1965) "Honour and Social Status", in *Honour and Shame: The Values of Mediterranean Society*, ed. J. G. Peristiany (London: Weidenfeld and Nicolson).
- (1968) "Honor", in *Encyclopedia of the Social Sciences*, 2nd ed. (New York: Macmillan) 503-511.
- (1968) "Pseudo-Kinship", in *International Encyclopedia of the Social Sciences*, ed. David L. Sills (New York: Macmillan/The Free Press) 8: 408-413.
- (1971) *The People of the Sierra*, 2nd ed. (Chicago: The University of Chicago Press).
- (1977) *The Fate of Shechem or the Politics of Sex: Essays in the Anthropology of the Mediterranean* (Cambridge: Cambridge University Press).
- Pliny (1961/63) *Pliny: Letters*, 2v., trans. William Melmoth, rev. W. M. L. Hutchinson (London: William Heinemann).
- (1969) *Pliny: Letters and Panegyricus*, 2v., trans. Betty Radice (Cambridge, Mass.: Harvard University Press).
- Plutarch (1928) *Plutarch's Moralia*, II, trans. Frank Cole Babbitt (London: William Heinemann).
- Porsch, Felix (1974) *Pneuma und Wort: Ein exegetischer Beitrag zur Pneumatologie des Johannesevangeliums* (Frankfurt: Knecht).
- Press, Gerald A. (1977) "History and the Development of the Idea of History in Antiquity", in *History and Theory* 16: 280-296.

- Price, A. W. (1989) *Love and Friendship in Plato and Aristotle* (Oxford: Clarendon).
- Rahner, Hugo (1941) "Flumina de ventre Christi: Die patristische Auslegung von Joh 7, 37.38", *Biblica* 22: 269-302, 367-403.
- Rensberger, David (1988) *Johannine Faith and Liberating Community* (Philadelphia: Westminster Press).
- (1997) *1 John, 2 John, 3 John* (Nashville, Abingdon Press).
- Richard, E. (1985) "Expressions of Double Meaning and their Function in the Gospel of John", *NTS* 31: 96-112.
- Richardson, Peter (1996) *Herod: King of the Jews and Friend of the Romans* (Columbia, South Carolina).
- Rist, M. (1980) "Epicurus on Friendship", *Classical Philology* 75: 121-129.
- Robinson, J. A. T. (1960-61) "The Destination and Purpose of the Johannine Epistles", *NTS* : 56-65.
- (1962-63) "The Relation of the Prologue to the Gospel of St John", *NTS* 9: 120-129.
- Rohls-Hoegen, Christina (1996) *Der nachösterliche Johannes: Die Abschiedsreden als hermeneutischer Schlüssel zum viertem Evangelium* (Tübingen: J. C. B. Mohr [Paul Siebeck]).
- Rohrbaugh, Richard L. (1991) "The Pre-Industrial City in Luke-Acts: Urban Social Relations", in *The Social World of Luke-Acts: Models for Interpretation*, ed. Jerome Neyrey (Peabody, Mass.: Hendrickson Pub.) 125-149.
- Roniger, Luis (1983) "Modern patron-client relations and historical clientelism: Some clues from ancient Republican Rome", *Archives Europeennes de Sociologie* 24: 63-95.
- Ruckstuhl, Eugen (1985) *Jakobusbrief, 1.-3. Johannesbrief* (Würzburg: Echter Verlag).
- Russell, E. A. (1980) "The Holy Spirit in the Fourth Gospel", *Irish Biblical Studies* 2: 84-94.
- Saldarini, Anthony J. (1988) *Pharisees, Scribes and Sadducees in Palestinian Society: A Sociological Approach* (Wilmington, Delaware: Michael Glazier).
- Saller, Richard P. (1982) *Personal Patronage under the Early Empire* (Cambridge: University Press).
- (1989) "Patronage and friendship in early imperial Rome: drawing the distinction", in *Patronage in Ancient Society*, ed. Andrew Wallace-Hadrill (London: Routledge) 49-62.
- Sandelin, Karl-Gustav (1987) "The Johannine Writings within the Setting of Their Cultural History", in *Aspects on the Johannine Literature: Papers presented at the conference of Scandinavian New Testament exegetes at Uppsala, June 16-19, 1986*, ed. Lars Hartman and Birger Olsson (Uppsala: Uppsala Universitet) 9-26.
- Sanders, J. N. (1968) *A Commentary on the Gospel According to St John*, edited and completed by B. A. Mastin (London: Adam & Charles Black).

- Sandy, D. Brent (1991) "John the Baptist's 'Lamb of God' Affirmation in its Canonical and Apocalyptic Milieu", *Journal of the Evangelical Theological Society* 34: 447-460.
- Sasse, H. (1925) "Der Paraklet im Johannesevangelium", *ZNW* 24: 260-277.
- Sayari, Sabri (1977) "Political Patronage in Turkey", in *Patrons and Clients in Mediterranean Societies*, ed. Ernest Gellner and John Waterbury (London: Duckworth) 103-113.
- Schnackenburg, Rudolf (1980/ 82) *The Gospel according to St. John*, 3 v. (New York: Crossroad).
- (1992) *The Johannine Epistles: Introduction and Commentary*, tran. Reginald and Ilse Fuller (Tunbridge Wells, England: Burns & Oates).
- (1995) "John", *Jesus in the Gospels: A Biblical Christology*, trans. O. C. Dean Jr. (Louisville: Westminster/John Knox) 219-294.
- Schneider, J. (1971) "Of Vigilance and Virgins: Honor and Shame and Access to Resources in Mediterranean Society", *Ethnology* 19: 1-24.
- Schnelle, Udo (1998) "Johannes als Geisttheologie", *NovTest* 40:17-31.
- (1999) "Die Juden im Johannesevangelium", in *Gedenkt an das Wort*, ed. C. Kähler, M. Böhm, and C. Böttrich (Leipzig) 217-230.
- Schottroff, Luise (1998) "The Samaritan Woman and the Notion of Sexuality in the Fourth Gospel", in *What is John? v. II: Literary and social readings of the Fourth Gospel*, ed. Fernando Segovia (Atlanta: Scholars Press) 157-181.
- Schulz, Siegfried (1983) *Das Evangelium nach Johannes* (Göttingen: Vandenhoeck & Ruprecht).
- Schunack, Gerd (1982) *Die Briefe des Johannes* (Zürich: Theologischer Verlag).
- Schwankl, O. (1995) *Licht und Finsternis: Ein metaphorisches Paradigma in den johanneischen Schriften* (Freiburg: Herder).
- Segovia, Fernando F. (1982a) *Love Relationships in the Johannine Tradition: Agape/Agapan in 1 John and the Fourth Gospel* (Chico, CA: Scholar's Press).
- (1982b) "The Theology and Provenance of John 15: 1-17", *JBL* 101: 115-128.
- (1985) "The Structure, Tendenz, and Sitz im Leben , of John 13:31-14:31", *JBL* 104: 471-493.
- (1991) *The Farewell of the Word: The Johannine Call to Abide* (Minneapolis: Fortress Press).
- Seim, Turid Karlsen (1987) "Roles of Women in the Gospel of John", in *Aspects on the Johannine Literature: Papers presented at the conference of Scandinavian New Testament exegetes at Uppsala, June 16-19, 1986*, ed. Lars Hartman and Birger Olsson (Uppsala: Uppsala Universitet) 56-73.
- Silverman, Sydel F. (1967) "Community-Nation Mediator in Traditional Central Italy", in *Peasant Society: A Reader*, ed. Jack M. Potter, May N. Diaz, and George M. Foster (Boston: Little, Brown



- and Company) 279-293.
- (1977) "Patronage and Community-Nation Relationships in Central Italy", in *Friends, Followers, and Factions: A Reader in Political Clientelism*, ed. Steffen W. Schmidt, Laura Guasti, Carl H. Landé and James C. Scott (Berkeley and Los Angeles: University of California Press) 293-304.
- Slater, Thomas B. (1991) "The Paraclete as Advocate in the Community of the Beloved Disciple", *African Theological Journal* 20: 101-107.
- Smalley, Stephen S. (1984) *1, 2, 3 John* (Waco, Texas: Word Books).
- Smith, Charles W. F. (1962-63) "Tabernacles in the Fourth Gospel and Mark", *NTS* 9: 130-146.
- Smith, D. Moody (1974-5) "Johannine Christianity: Some Reflections on its Character and Delineation", *NTS* 21: 224-248.
- (1990) "Judaism and the Gospel of John", in *Jews and Christians: Exploring the Past, Present, and Future*, ed. J. H. Charlesworth (New York: Crossroad) 76-99.
- Sperber, Daniel (1971) "Patronage in Amoraic Palestine (c. 220-400): Causes and Effects", *Journal of Economic and Social History of the Orient* 14: 227-252.
- Spriggs, D. G. (1989) "The Waters of Birth: John 3.5 and 1 John 5. 6-8", *NTS* 35: 155-160.
- Sproston, Wendy (1992) "Witnesses to what was *απ ἀρχῆς*: 1 John's contribution to our knowledge of tradition in the Fourth Gospel", *JSNT* 48 (1992) 43-65.
- Stambaugh, John E. and David L. Balch (1986) *The New Testament in its Social Environment* (Philadelphia: The Westminster Press).
- Ste. Croix, G. E. M. de (1954) "Suffragium: from Vote to Patronage", in *British Journal of Sociology* 5:33-48.
- Stenger, Werner (1979) "ΔΙΚΑΙΟΣΥΝΗ in Jo. XVI 8. 10", *NovTest* 21: 2-12.
- Strachan, R. H. (1920) *The Fourth Gospel, Its Significance and Environment* (London: Macmillan & Co).
- Strelan, Rick (1996) *Paul, Artemis, and the Jews in Ephesus* (Berlin: Walter de Gruyter).
- Swetnam, James (1993) "Bestowal of the Spirit in the Fourth Gospel", *Biblica* 74: 556-576.
- Sylva, Dennis D. (1988) "Nicodemus and his Spices (John 19.39)", *NTS* 34: 148-151.
- Tajfel, Henri (1978) "The Achievement of Group Differentiation", in *Differentiation between Social Groups: Studies in the social psychology of intergroup relations* (London: Academic Press) 77-98.
- (1981) *Human Groups and Social Categories* (Cambridge: Cambridge University Press).
- Tew, Grady Timothy (1993) *The Pneumatology of John as Seen in the Fourth Gospel*. PhD dissertation, New Orleans Baptist Theological Seminary.
- Thompson, Marianne Meye (1988) *The Humanity of Jesus in the Fourth Gospel* (Philadelphia:

Fortress).

-- (1997) "Thinking about God: Wisdom and Theology in John 6", in *Critical Readings of John 6*, ed. R. Alan Culpepper (Leiden: E. J. Brill) 221-246.

Tollefson, Kenneth D. (1999) "Certainty within the Fellowship: Dialectical discourse in 1 John", *BTB* 29: 79-89.

Tolmie, D. F. (1995) *Jesus' Farewell to the Disciples: John 13:1-17:26 in narratological perspective* (Leiden: E. J. Brill).

-- (1998) "The Characterization of God in the Fourth Gospel", *JSNT* 69: 57-75.

Tomson, P. J. (1986) "The Names 'Israel' and 'Jew' in Ancient Judaism and the New Testament", *Bijdragen, tijdschrift voor filosofie en theologie* 47: 120-140; 266-289.

Torjesen, Karen Jo (1993) *When Women Were Priests: Women's Leadership in the Early Church and the Scandal of Their Subordination in the Rise of Christianity* (New York: HarperCollins).

Trites, Allison A. (1977) *The New Testament Concept of Witness* (Cambridge: University Press).

Van Tilborg, Sjeff (1996) *Reading John in Ephesus* (Leiden: E. J. Brill).

Vermes, Geza (1961) *Scripture and Tradition in Judaism: Haggadic Studies* (Leiden: E. J. Brill).

Voelz, James W. (1989) "The Discourse on the Bread of Life in John 6: Is it Eucharistic?", *Concordia Journal* 15: 29-37.

Wahlde, Urban von (1982) "The Johannine 'Jews': A Critical Survey", *NTS* 28: 33-60.

-- (1984) "Literary Structure and Theological Argument in Three Discourses with the Jews", *JBL* 103: 575-584.

-- (1990) *The Johannine Commandments: 1 John and the Struggle for the Johannine Tradition* (New York: Paulist Press).

-- (1999) " 'The Jews' in the Gospel of John: Fifteen years of research", unpublished paper presented to the Joint Meeting of the Seminars on Johannine Literature and Die Inhalte und Probleme der biblischen Theologie. University of Pretoria, August 1999.

Wallace-Hadrill, Andrew (1989) "Patronage in Roman society: from Republic to Empire", in *Patronage in Ancient Society*, ed. A. Wallace-Hadrill (London: Routledge) 63-87.

-- (1994) *Houses and Society in Pompeii and Herculaneum* (Princeton, NJ: Princeton University Press).

Waterbury, John (1977) "An Attempt to put Patrons and Clients in their Place", in *Patrons and Clients in Mediterranean Societies*, ed. Ernest Gellner and John Waterbury (London: Duckworth) 329-342.

Weber, Max (1962) *Basic Concepts in Sociology*, trans. H. P. Secher (London: Peter Owen).

Weingrod, Alex (1977) "Patronage and Power", in *Patrons and Clients in Mediterranean Societies*, ed.

- Ernest Gellner and John Waterbury (London: Duckworth) 41-51.
- Wenham, David (1980) "Spirit and Life: Some Reflections on Johannine Theology", *Themelios* 6: 4-8.
- Westcott, Brooke F. (1966) *The Epistles of St John* (England: Marcham).
- Whale, Peter (1987) "The Lamb of John: Some Myths about the Vocabulary of the Johannine Literature", *JBL* 106: 289-295.
- Whitacre, Rodney A. (1982) *Johannine Polemic: The Role of Tradition and Theology* (Chico, CA: Scholars Press).
- Wijngaards, John (1988) *The Spirit in John* (Wilmington, Del.: M. Glazier).
- Williams, J. and H. Giles (1978) "The Changing Status of Women in Society", in *Differentiation between Social Groups: Studies in the social psychology of intergroup relations* (London: Academic Press) 431-446.
- Windisch, H. (1927) "Die fünf johanneischen Parakletsprüche", in *Festgabe für A. Julicher zum 70 Geburtstag*, (Tübingen: Mohr-Siebeck) 110-137.
- (1968) *The Spirit-Paraclete in the Fourth Gospel*, tr. J. W. Cox (Philadelphia: Fortress Press).
- Wink, Walter (1968) *John the Baptist in the Gospel Tradition* (Cambridge: University Press).
- Winter, M. (1994) *Das Vermächtnis Jesu und die Abschiedsworte der Väter: Gattungsgeschichtliche Untersuchung der Vermächtnisrede im Blick auf Joh. 13-17* (Göttingen: Vandenhoeck & Ruprecht).
- Witherington, Ben III (1989) "The Waters of Birth: John 3.5 and 1 John 5. 6-8", *NTS* 35: 155-160.
- (1995) *John's Wisdom: A Commentary on the Fourth Gospel* (Louisville: Westminster John Knox Press).
- Wolf, Eric R. (1956) "Aspects of group relations in a complex society: Mexico", *American Anthropologist* 58: 1065-1078.
- (1966) "Kinship, Friendship and Patron-Client Relations", in *The Social Anthropology of Complex Societies*, ed. M. Banton (A.S.A. Monographs 4; London: Tavistock) 1-22.
- Woll, Bruce D. (1980) "The Departure of 'The Way': The First Farewell Discourse in the Gospel of John", *JBL* 99: 225-239.
- (1981) *Johannine Christianity in Conflict: Authority, Rank, and Succession in the first Farewell Discourse* (Chico, CA: Scholars Press).
- Woodhouse, H. F. (1964) "Hard Sayings-IX: The Holy Ghost was not yet given. John 7.39.", *Theology* 67: 310-312.
- Wotherspoon, Arthur W. (1922/23) "Concerning the Name 'Paraclete'", *Expository Times* 34: 43-44.
- Yee, Gale A. (1989) *Jewish Feasts and the Gospel of John* (Wilmington, Delaware: Michael Glazier).